

Records Management Handbook

U.S. Department of Agriculture

Grain Inspection, Packers and Stockyards Administration

Effective: October 1, 2013

Instructions are given for record copies. All other copies are treated as informational unless separately scheduled. Informational copies cannot be retained beyond the retention period for the recordkeeping copies.

Cathy McDuffie
Records Officer
301-851-2626
Cathy.A.McDuffie@aphis.usda.gov

Irene Omade
Records Coordinator
202-720-8479
m.irene.omade@usda.gov

TABLE OF CONTENTS

| | |
|---|--------------|
| Chapter 1 - Introduction | 1-4 |
| • <i>Purpose</i> | |
| • <i>Scope and Applicability</i> | |
| • <i>Background</i> | |
| • <i>Laws and Authority</i> | |
| • <i>FOIA and Litigation</i> | |
| Chapter 2 - Responsibilities | 5-7 |
| • <i>Designated Records Officer</i> | |
| • <i>Records Management Coordinator</i> | |
| • <i>Managers</i> | |
| • <i>Records Custodians</i> | |
| Chapter 3 - Definitions | 8-14 |
| Chapter 4 – Identifying Record | 15-21 |
| • <i>Records</i> | |
| • <i>Non-Records</i> | |
| • <i>Personal Papers</i> | |
| • <i>Working Files</i> | |
| • <i>Record Format (Email and Electronic Records)</i> | |
| • <i>Active Records</i> | |
| • <i>Creating and Receiving Records</i> | |
| Chapter 5 - Records Disposition Program | 22-23 |
| • <i>Objectives</i> | |
| • <i>Basic Elements</i> | |
| • <i>Maintenance and Use (File Code)</i> | |
| Chapter 6 - Files Operations | 24-30 |
| • <i>Types of Files</i> | |
| • <i>Planning and Arranging Files</i> | |
| • <i>Arranging Folders, Guides, and Labels</i> | |
| • <i>Inspection of Papers</i> | |
| • <i>Files Classification</i> | |
| • <i>Filing</i> | |
| • <i>Preparing File Folders</i> | |

Chapter 7 – Subject File Classification System _____ 31-34

- *Definition and Purpose*
- *Applicability*
- *Distinguish between Subject Correspondence and the File Groups*
- *Type of System*
- *Establishing the Subject File*
- *Classifying Subject File Papers*

Chapter 8 - Files Disposition – Records Scheduling _____ 35-39

- *General*
- *Disposition Explained*
- *Disposition Standards*
- *Files Cutoff Procedures*

Chapter 9 - Retirement Guidelines _____ 40-42

- *Records Retirement (General)*
- *Retirement Deviations*
- *Nonrecord Disposal List*

Chapter 10 – Transfer, Packing, Shipping and Storage of Records _____ 43-54

- *General*
- *Transferring Records*
- *Records Transmittal Form*
- *Shipping the Records*
- *Referrals to Stored Records*
- *Disposition of Retired Records*
- *Federal Records Centers Addressess*
- *Exhibit 1 – Records Transmittal Receipt Form (SF-135)*
- *Exhibit 2 – Instructions for Preparing Form (SF-135)*

Disposition Schedules:

| | |
|---|-----------------------|
| <i>Administrative Management Records (ADMI)</i> | <i>55-58</i> |
| <i>Alternative Dispute Resolution Records (ADRR)</i> | <i>58</i> |
| <i>Audiovisual Records (AUDV)</i> | <i>59-60</i> |
| <i>Chief Information Officer Records (CIOR)</i> | <i>60-62</i> |
| <i>Commissions, Boards, Councils, Committee, TaskForce and Meeting Records(CBCC)</i> | <i>62-64</i> |
| <i>Contracting, Procurement, Supply Records (CONT)</i> | <i>64-67</i> |
| <i>Departmental Initiatives and International Affairs Records (DIIA)</i> | <i>67-69</i> |
| <i>Directives/Administrative Issuances/Policy Regulations Records (DIR)</i> | <i>69</i> |
| <i>Emergency and Disaster Planning/COOP Records (EMER)</i> | <i>69-70</i> |
| <i>Employee Assistance Program Management Records (EAPM)</i> | <i>70</i> |
| <i>Equal Employment Opportunity Records (EEOC)</i> | <i>71-72</i> |
| <i>Ethics Records (ETHI)</i> | <i>72-75</i> |
| <i>Facilities and Space Records (FACI)</i> | <i>75-77</i> |
| <i>Financial Records (FINC)</i> | <i>77-79</i> |
| <i>Forms Management Records (FORM)</i> | <i>79</i> |
| <i>Freedom of Information Act Records (FOIA)</i> | <i>79-80</i> |
| <i>Human Resources Management Personnel Records (HRMS)</i> | <i>81-93</i> |
| <i>Information Collection Records (INFC)</i> | <i>93</i> |
| <i>Information Technology Records (ITOM)</i> | <i>93-101</i> |
| <i>Legislative and Legal Records (LEGB)</i> | <i>101-102</i> |
| <i>Methods Development Records (METH)</i> | <i>102-107</i> |
| <i>Official Agencies Records (OAAS)</i> | <i>107-108</i> |
| <i>Official Services Records (OAOS)</i> | <i>108-113</i> |
| <i>Payroll Records (PAYR)</i> | <i>114-116</i> |
| <i>Policy, Procedures, and Market Analysis Records (PPMA)</i> | <i>116-117</i> |
| <i>Privacy Records (PRIV)</i> | <i>117-119</i> |
| <i>Project Records (PROJ)</i> | <i>119</i> |
| <i>Property Records (PROP)</i> | <i>120</i> |
| <i>Quality Assurance/Quality Control Program (QAQC)</i> | <i>121-123</i> |
| <i>Records Management Records (RMGT)</i> | <i>123-124</i> |
| <i>Safety, Health, Environment, and Security Records (SAFE)</i> | <i>124-125</i> |

| | |
|---|----------------|
| <i>Telecommunications Records (TELE)</i> _____ | <i>125-126</i> |
| <i>Training Records (TRNG)</i> _____ | <i>126-128</i> |
| <i>Travel Records (TRVL))</i> _____ | <i>128-129</i> |
| <i>Vehicle Maintenance/Operations Records (VEHI))</i> _____ | <i>129-130</i> |

Disposition Schedules (Electronic Systems):

| | |
|---|----------------|
| <i>Export Grain Information System (EGIS)</i> _____ | <i>131-132</i> |
| <i>FGIS Online System (FGIS)</i> _____ | <i>132-133</i> |
| <i>Grain Inspection and Weighing Information System (GIWIS)</i> _____ | <i>133-134</i> |
| <i>Packers and Stockyards Automated System (PSAS)</i> _____ | <i>134-135</i> |
| <i>Swine Contract Library System (SCLS)</i> _____ | <i>135-136</i> |

CHAPTER 1

INTRODUCTION

1. **PURPOSE.** The Grain Inspection, Packers and Stockyards Administration (GIPSA) Records Management Handbook establishes policy incorporating applicable Federal requirements into standard GIPSA practices, outlines basic records management program requirements, and sets forth responsibilities for records management. Since all staff creates, maintain, and use GIPSA records, it is important that everyone understand their records management responsibilities. GIPSA-wide policy provides the framework for specific guidance and detailed operating procedures governing records management organization, responsibilities, and implementation.
2. **SCOPE AND APPLICABILITY.** This policy applies to all files and records of GIPSA as defined under the Federal Records Act (44 U.S.C. 3101), regardless of medium (including paper, microform, electronic, audiovisual, and record copies of Agency publications), which are created, collected, processed, used, stored, and/or disposed of by GIPSA offices, employees, and facilities, as well as those acting as GIPSA's agents (for example, States, contractors, and grantees).
3. **BACKGROUND.**
 - a. The Federal Records Act of 1950, as amended, requires all Federal agencies to make and preserve records containing adequate and proper documentation of their organization, function, policies, decisions, procedures, and essential transactions. These records are public property and must be managed according to applicable laws and regulations.
 - b. Records are broadly defined by statute and regulation to include all recorded information, regardless of medium or format, made or received by GIPSA and its agents under Federal law or in connection with the transaction of public business, and either preserved or appropriated for preservation because of their administrative, legal, fiscal, or information value.
 - c. Records are a valuable information resource whose uses go beyond facilitating immediate operational needs. Records serve a number of broader purposes including: longer-term administrative and program planning needs, evidence of GIPSA activity, use by other programs in GIPSA, protection of the legal and financial rights of the Government and its citizens, effective oversight by Congress and other authorized agencies, and the retention of an official record for historical purposes. Records serve as GIPSA's memory; they are of critical importance in ensuring that the organization continues to function effectively and efficiently.

- d. Not all documentary materials used by GIPSA and its agents are records. Examples of documentary materials that are not records include library and reference materials, stocks of publications and processed documents maintained for distribution, extra copies of documents made or acquired only for convenience of reference (often call technical reference materials), and personal papers.
- e. Each record must be managed as a GIPSA asset throughout its life cycle, which consists of three basic stages: creation, active maintenance and use, and disposition. The records life cycle is initiated by the creation, collection, or receipt of records in the form of data or documents in the course of carrying out GIPSA's administrative and program responsibilities. The life cycle continues through the processing and active use of the information in the record until the record is determined to be inactive. The final step in the life cycle is disposition. This frequently involves transfer to inactive storage, followed by transfer to the National Archives or destruction.
- f. As records move through the information life cycle, they require management by "sponsors" who created them or directed their creation, and who are responsible for their continued maintenance and disposition. Also, users who have a need for the information in the records and custodians who have physical custody of the records at various stages in the life cycle must ensure the continued care of information.
- g. GIPSA offices, staff, and their agents who create, use and acquire custody or possession of GIPSA records do not retain a proprietary interest in such records. Official GIPSA records are public assets and belong to the Government, not to programs by virtue of their possession or to individuals by virtue of their position as GIPSA officials. Penalty for the willful and unlawful destruction, theft, and private use of official records is punishable by fine and/or imprisonment (18 U.S.C. 2071.)
- h. Records management is defined as planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition, in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations.
- i. GIPSA is required under Federal statute (44 U.S.C. 31) to establish a records management program, defined as a planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. Essential elements include issuing up-to-date records management administrative and program directives, properly training those responsible for implementation, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency. Chapter 36 of the Code of Federal Regulations (36 CFR 1222.20) and Office of Management and Budget (OMB) Circular A-130, Management of Federal Information Resources, require that agencies integrate records management into the overall information resources management (IRM) program.

- j. This policy is intended to be read in the context of the entire GIPSA Information Technology (IT) policy. It is not comprehensive in covering all IT requirements affecting records management. Program offices wishing to manage their records electronically must review carefully all pertinent Federal IT regulations and GIPSA policies to ensure that the records they create will meet all requirements. This is especially true for areas such as electronic signatures, which have legal and audit implications.

4. **LAWS AND AUTHORITY.**

- a. 5 U.S.C. 552 (The Freedom of Information Act, as amended).
- b. 5 U.S.C. 552a (The Privacy Act of 1974).
- c. 5 U.S.C. 553 (Administrative Procedures Act).
- d. 5 CFR 1320.16 (Collection of information prescribed by another agency).
- e. 5 CFR 1320.17 (Interagency reporting).
- f. 18 U.S.C. 2701-2707 (The Electronic Communications Privacy Act of 1986).
- g. 18 U.S.C. 2071 (Destruction of Records).
- h. 31 U.S.C. 1101 et. seq. (Budget and Accounting Procedures Act of 1921).
- i. 44 U.S.C. 29 (Records Management by the Archivist of the United States and the Administrator of General Services).
- j. 44 U.S.C. 31 (Records Management by Federal Agencies).
- k. 44 U.S.C. 33 (Disposal of Records).
- l. 44 U.S.C. 35 (Paperwork Reduction Act of 1980, as amended).
- m. 44 U.S.C. 3404 (e) (Paperwork Reduction Reauthorization Act of 1995).
- n. 36 CFR 1220 to 1238 (Records Management).
- o. 41 CFR 201-6 to 201-11 (Records Management).
- p. OMB Circular A-130, Management of Federal Information Resources.
- q. Applicable Federal Information Processing Standards (FIPS) publications.

5. **DELEGATION OF AUTHORITY**. The GIPSA Administrator is responsible for creating and preserving records that adequately and properly document the organization, functions, policies, procedures, and essential transactions of GIPSA. This responsibility is delegated to the Records Officer for GIPSA.

This Handbook replaces any internal administrative office record guidelines that may be in use. The Records Officer for GIPSA serves as the “subject matter expert” and provides guidance to GIPSA. Refer any questions or concerns to GIPSA Records Officer and Records Coordinator.

6. **FOIA AND LITIGATION**. The Freedom of Information Act (FOIA) is a federal freedom of information law that allows for the full or partial disclosure of previously unreleased information and documents controlled by the United States Government. FOIA applies to the total universe of records an organization maintains, regardless of the medium.

Note: It is important to dispose of temporary records promptly at disposal date. If you don’t dispose of records promptly, you will be obligated to search all the accumulated records in response to discovery or FOIA requests, which can be expensive and time-consuming.

CHAPTER 2

RESPONSIBILITIES

The Marketing and Regulatory Programs Business Services, Animal and Plant Health Inspection Service, Records Officer, is responsible for leadership, planning, overall policy, and general oversight of records management in GIPSA.

1. THE DESIGNATED RECORDS OFFICER:

- a. Manages and ensures the implementation of an appropriate records management program tailored to GIPSA's requirements.
- b. Coordinates the approval of GIPSA's records disposition schedules and the transfer of records to the National Archives.
- c. Coordinates records management issues with other Federal agencies, including Federal oversight agencies, such as the Office of Management and Budget, National Archives and Records Administration, and the General Services Administration (GSA).
- d. Provides technical advice and training to all GIPSA staff on establishing and maintaining an effective records management program.
- e. Promotes and communicates GIPSA-wide policies and guidance that reflect records management missions and goals, and incorporate Federal requirements.
- f. Ensures that senior GIPSA staffs are aware of their records management responsibilities.
- g. Conducts periodic evaluations of records management programs with GIPSA as part of GIPSA's information resource management review and oversight program.
- h. Develops and disseminates directives and operating procedures, as needed, to supplement GIPSA-wide policy to meet unique records management needs of different parts of GIPSA.
- i. Reports any unauthorized disposition of Federal records, including all forms of mutilation and alienation of records to the National Archives. (36 CFR, Chapter XII, Section 228.104.)

2. **THE RECORDS COORDINATOR, GIPSA:**

- a. Assists the Records Officer with implementing approved records disposition, while ensuring that no records are destroyed without proper authorization as specified in the Federal Records Act.
- b. Monitors standardized file plans and indexing approaches, where appropriate, to simplify the use of, access to, and integration of information within GIPSA.
- c. Develops records management oversight roles and communication networks with all program units including field and regional offices and other facilities to ensure that the records management program is implemented at all sites.
- d. Advises respective division and staff personnel in the creation, maintenance, use, retention, and disposition of records.
- e. Coordinates the transfer of headquarters and field-based records materials to Federal Records Centers (FRCs) for storage and retrieval.
- f. Conducts periodic inspections to determine compliance with established files maintenance procedures.
- g. Assists the Records Officer with revisions to GIPSA's Records Management Handbook.

3. **MANAGERS:**

- a. Furnish a copy of this Handbook and subsequent changes to employees designated as records custodians.
- b. File personal papers separately from official papers to:
 - (1) Avoid inadvertent destruction or removal of official records.
 - (2) Facilitate retrieval of official files and thus enhance operational efficiency.
 - (3) Eliminate the likelihood that personal papers will be confused with official records and be made available under the Freedom of Information Act.

NOTE: In cases where both private personal business and official business appear in the same document, that portion of the document relating to official business must be extracted and made a part of the official files.

- c. Ensure that employees understand and comply with the requirements to guard against the removal or loss of GIPSA records.

- d. Ensure that records in the custody of GIPSA are not alienated or destroyed except in accordance with this Handbook.

4. **RECORDS CUSTODIANS:**

- a. Set up current records according to the procedures outline in this Handbook.
- b. Ensure the establishment of appropriate internal practices and procedures to prevent unauthorized access, loss, removal, or theft of official records created or acquired in electronic form.
- c. Ensure that permanent series of records are clearly identified and maintained separately from disposable series to prevent accidental destruction of the permanent series.
- d. Informs the Records Officer and Records Coordinator of changes in activities which necessitate changes in files.
- e. Minimize the accumulation of unnecessary files.
- f. Cut-off files annually, separate inactive from active records, and determine what can be destroyed at individual file stations or prepared for shipment to a FRC.
- g. Review and update file plans annually.
- h. Report any unauthorized disposition of Federal records, including all forms of mutilation and alienation of records to the Records Officer and Records Coordinator.

CHAPTER 3

DEFINITIONS

ACCESSION. The transfer of the legal and physical custody of records from an agency to an archival agency or a records center. The agency retains legal custody of the records when transferred for temporary storage at a records center.

ACCESSION NUMBER. A number assigned to identify shipments of records in the records center.

ADEQUACY OF DOCUMENTATION. A standard of sufficiently and properly recorded actions and/or decisions. Derives from the legal requirement that agency heads “made and preserve records containing adequate and proper document of the organizations, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency’s activities” (U.S.C. 3101).

ALPHABETIC-SUBJECT FILING SYSTEM. A classification system in which subjects are arranged in alphabetical order regardless of their relationship to one another. For example, the subjects “abode houses” and “adrenaline” might immediately precede and follow “administration.”

APPRAISAL. The process of determining the value and thus the final disposition of records, making them either temporary or permanent.

ARCHITECTURAL AND ENGINEERING RECORDS. Drawings and related records depicting the concepts and precise measurements needed to plan and build static structures, such as buildings, bridges, and canals, as well as those needed to complete other public works projects and produce such objects as weapons and machines. Includes design and construction drawings and related records. Also includes computer-aided (CAD) and computer-aided manufacturing (CAM) system records that relate to architecture and engineering which are managed like other electronics.

ARCHIVES. The noncurrent records of an organization, preserved because of their continuing or enduring value.

BLOCK. A chronological grouping of records consisting of one or more segments of cutoff records that belong to the same series and are dealt with as a unit for purposes of their sufficient transfer, especially the transfer of permanent records to the National Archives (NA). (For example, a transfer of records in the 5-year blocks.) In electronic recordkeeping, a grouping of data stored as a unit on an external storage medium and dealt with as a unit by the computer for input or output.

CENTRAL FILES. Files accumulated by several offices or organizational units and maintained and supervised in one location. They also are called centralized files. This arrangement is most effective in small organizations.

CLASSIFICATION. The process of determining the sequence or order in which to arrange documents.

CLASSIFIED INFORMATION. Records or information requiring, for national security reasons, safeguards against unauthorized disclosure.

CLOSED FILE. A file unit or series containing documents on which action has been completed and to which more documents are not likely to be added. A file unit or series to which access is limited or denied.

CONTINGENT RECORDS. Records scheduled for final disposition after the occurrence of an event at some unspecified future time, such as the decommissioning of a vessel.

CONTINUITY REFERENCE. A reference form used to replace material withdrawn for consolidation with later material.

CURRENT RECORDS. (Also referred to as active records.) Records that are necessary for conducting the current business of an office and must be maintained in office space and equipment.

CUTOFF. Breaking or ending files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and to permit the establishment of new files. It also is called file cutoff or file break.

DECENTRALIZED FILES. Where each principal element of an agency maintains its own files.

DISPOSAL AUTHORITY. Legal approval empowering an agency to transfer permanent records to the National Archives and Records Administration (NARA) or carry out the disposal of temporary records. Approval must be obtained from NARA and also, for certain records proposed as temporary, from the General Accounting Office. The Agency's approval of disposition instructions for nonrecord material.

DISPOSE. To carry out disposal, which includes either the destruction or the donation of temporary records, but not the transfer of permanent records to NARA.

DISPOSITION SCHEDULE. A document providing authority for the final disposition of recurring or nonrecurring records. It also is called records disposition schedule, records control schedule, records retention schedule, or schedule. It includes the SF-115, Request for Records Disposition Authority, the General Records Schedules (GRS), and the Agency records schedule, which, when completed, becomes a comprehensive records schedule that also contains Agency disposition instructions for nonrecord material.

FEDERAL RECORDS CENTER (FRC). A storage facility operated by NARA.

FILES. A collective term usually applied to all records and nonrecord materials of an office or agency.

FILES CUSTODIAN. The individual or office in charge of Agency files. Often used interchangeably with records custodian.

FILING SYSTEM. A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use, and disposition. Sometimes called recordkeeping system.

FINDING AIDS. Indexes or other lists, whether manual or automated, that are designed to make it easier to locate relevant files.

FISCAL VALUE. The usefulness of records in documenting an agency's financial transactions and obligations.

FROZEN RECORDS. In records disposition, those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order, require a temporary extension of the approved retention period.

GENERAL RECORDS SCHEDULE (GRS). A NARA-issued schedule governing the disposition of specified records common to several or all agencies.

INACTIVE OR NONCURRENT RECORDS. Records no longer required to conduct GIPSA business and ready for final disposition.

INFORMATION SYSTEM. The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures. Normally refers to a system containing electronic records. Sometimes called a records system.

INTRINSIC VALUE. In archives administration, the value of those permanent records that should be preserved in their original form rather than as copies.

INVENTORY. A survey of Agency records and nonrecord materials taken before developing schedules.

ITEM. A separately numbered entry describing records on an SF-115, Request for Records Disposition Authority. Usually consists of record series or part of an information system. A document.

LEGAL CUSTODY. Guardianship or control of records, including both physical possession (physical custody) and legal responsibility (legal custody), unless one or other is specified.

LEGAL VALUE. The usefulness of records in documenting legally enforceable rights or obligations, both those of the Federal Government and those of persons directly affected by the Agency's activities.

LIFE CYCLE OF RECORDS. The concept that records pass through three stages: creation, maintenance and use, and disposition.

MNEMONIC FILING SYSTEM. A classification system in which records are coded by symbols that remind the user of the subjects; for example, ADMI for administration and TRVL for travel. These symbols usually are arranged alphabetically.

NATIONAL ARCHIVES (NA). The organization or agency responsible for appraising, accessioning, preserving, and making available permanent records.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA). The agency having overall responsibility for the records management program throughout the Federal Government. When permanent records are transferred to the NA, they are placed in the custody of NARA'S Office of the National Archives.

NONRECORD. U.S. Government-owned informational materials excluded from the legal definition of records. Consists of extra copies of documents kept only for convenience of reference, stocks of publications and processed documents, and library or museum material intended solely for reference or exhibition.

OFFICE OF PRIMARY RESPONSIBILITY (OPR). The office delegated responsibility for a specific function. This office normally maintains the official GIPSA record, including the yellow copy and related incoming correspondence. The OPR may designate other offices to maintain the official GIPSA record copy for that function.

OFFICIAL FILE STATION. Any location in an organization where records are maintained for current use.

OFFICIAL RECORD COPY. The yellow file or otherwise designated copy maintained by the office that recreated it. Also includes incoming correspondence used to document a specific function.

PERMANENT RECORDS. Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes. Sometimes called archival records.

PERSONAL PAPERS. Nonofficial or private papers relating solely to an individual's own affairs. Must be clearly designated as such and kept separate from GIPSA's records. Also called personal files or personal records.

PROGRAM RECORDS. Records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records.

PUBLIC RECORDS. In general usage, records accumulated by Government agencies. Records open to public inspection by law or custom.

READING FILES. Outgoing correspondence records arranged chronologically, in contrast to those arranged by subject. Sometimes called chronological (chron) or day files.

RECORD GROUP. A body of organizationally related records established by an archival agency after considering the organization's administrative history and complexity and the volume of its records. NARA uses record group numbers to keep track of Agency records during and after the scheduling process, including those transferred to an FRC and/or the NA.

RECORDS. According to 44 U.S.C. 3301, the term "includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriated for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference and stocks of publications and of processed documents are not included."

RECORDS MAINTENANCE AND USE. Any action involving the location of Federal agency records, or the storage, retrieval, and handling of records kept at office file locations by, or for, a Federal agency. This is the second stage of the records life cycle.

RECORDS MANAGEMENT. The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance, use, and disposition of records to achieve adequate and proper document of Federal policies and transactions as well as effective and economical management of agency operations.

RECORDS MANAGEMENT PROGRAM. A planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. Encompasses the creation, maintenance, use, and disposition of records, regardless of media. Essential directives, properly training those responsible for implementation, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

RECORDS OFFICER. The person assigned responsibility for overseeing and Agency-wide records management program.

RETENTION PERIOD. The length of time that records are to be kept.

RETIREMENT. The sending of inactive records to an FRC or to the NA either for permanent retention or for storage until time for disposal (destruction).

SCREENING. The review of files to apply access restrictions. Examining files to identify and remove documents of short-term value, especially those eligible for immediate destruction. Also called weeding or purging.

SPECIAL RECORDS. Types of records maintained separately from textual/paper records because their physical form or characteristics require unusual care and/or because they have nonstandard sizes. Includes electronic, audiovisual, microform, cartographic and remote-sensing imagery, architectural and engineering, printed, and card records.

STANDARD FORM 115, REQUEST FOR RECORDS DISPOSITION AUTHORITY. The form used by Federal agencies to obtain disposition authority from NARA for records to which the GRS are inapplicable.

STANDARD FORM 135, RECORDS TRANSMITTAL AND RECEIPT. The form to be submitted by Federal agencies before transferring records to a FRC. Sometimes referred to as shelf lists.

SUBJECT FILES. Records arranged and filed according to their general informational or subject content. Mainly letters and memorandums; but also forms, reports, and other material; all relating to program and administrative functions, not to specific cases.

SUBJECT-NUMERIC FILING SYSTEM. A subject classification system in which the main topics are arranged alphabetically and the subdivisions, i.e., secondary (second) and tertiary (third) are coded numerically.

Primary Subjects are the prime or major subject designations that identify and describe groups of related records.

Secondary Subjects are one or more related subjects that have been created or established by the division of a primary subject.

Tertiary Subjects are one or more related subjects that have been created or established by the division of a secondary subject.

TECHNICAL REFERENCE FILES. Nonrecord copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are needed for reference and information but are not properly part of the office's records.

TEMPORARY RECORDS. Records approved by NARA for disposal, either immediately or after a specified retention period.

UNSCHEDULED RECORDS. Records for which no ultimate disposition has been determined.

WASHINGTON NATIONAL RECORDS CENTER. The FRC for the inactive permanent records (except those located in the NA) and temporary Federal records for offices located in the Washington metropolitan area.

CHAPTER 4

IDENTIFYING RECORDS

Identifying the records that support the agency's work is the foundation of a successful records management program. GIPSA staff must determine the record status of all of their documentary materials. Federal records, as defined in the Federal Records Act, must be distinguished from non-records and personal papers, and must be managed according to the agency records schedule.

1. RECORDS

An information resource may be a record if it:

- documents significant agency decisions and commitments;
- adds to a proper understanding of the formulation or execution of agency actions, operations and responsibilities;
- conveys information of value on important agency activities;
- facilitates action by agency staff;
- provides key substantive comments on a draft;
- is required by the agency to be created or received; or
- protects the financial, legal and other rights of the government and of persons directly affected by the government's actions.

Records vary widely in physical forms or characteristics. They may be in paper, electronic, audiovisual or other media. The agency's records must contain documentation that is "adequate and proper." That is, the documentation must show a clear picture of how the agency conducts its business and makes its decisions. GIPSA offices should consider the following when determining if and how much documentation is necessary:

- legal or financial risk,
- audit needs,
- day-to-day management,
- public access requirements, and
- historical significance.

There are two types of Federal records: **permanent and temporary**. Federal records are appraised by NARA archivists in order to determine the informational or evidential value of a record. Those records appraised of enduring value are designated as permanent records, whereas those records appraised of no long-term value are designated as temporary:

- **Permanent Records:** Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal or fiscal purposes. Also called archival records.
- **Temporary Records:** Records approved by NARA for disposal, either immediately or after a specified retention period. Also called disposable records or nonpermanent records.

2. **NON-RECORDS**

Non-records are government-owned documentary materials excluded from the legal definition of records, either because the materials do not meet the general conditions of record status already described, or because they fall under one of three specific categories:

- Extra copies of documents preserved only for convenience or reference.
- Stocks of publications. (However, GIPSA must maintain a record copy of publications).
- Library material created or acquired and preserved solely for reference purposes.

Examples of non-records include:

- copies of correspondence, directives, forms and other documents on which the agency takes no administrative action;
- routing slips and transmittal sheets that provide no additional information;
- catalogs, trade journals and other publications received from other government agencies, commercial firms or private institutions that require no action and are not part of a case on which action is taken; and
- physical exhibits, artifacts, and other material objects lacking evidential value.

The following guidelines apply to managing non-records:

- When it is difficult to decide whether documents are records or non-records, agency staff should treat them as records.
- Non-records should not be interfiled with records.
- Non-records must be destroyed when they are no longer needed for reference; extra copies may not be retained after the record copy is destroyed.

Typically, an information resource is a record for a single custodian and other copies are non-records. For example, a memorandum circulated agency-wide that does not require action is a record for the individual sending it, but a non-record for recipients. However, in some cases, the information resource is a record for several people, possibly under different records schedules. For example, a letter establishing a partnership between GIPSA and an advisory committee may be a record under general correspondence for the senior official who sends it, but a record under program management for the office managing the project.

3. PERSONAL PAPERS

Personal papers are materials that belong to an individual, and are not used to conduct agency business. They relate solely to an individual's personal and private affairs, or are used exclusively for that individual's convenience. In contrast to records and non-records, the government does not own personal papers. If kept in agency space, the owner of personal papers must clearly designate them and manage them separately from records and non-records. However, labeling documentary materials "personal", "confidential" or "private" is not sufficient to determine the status of documentary materials.

Categories of personal papers include:

- Materials an individual accumulates before joining government service that he or she does not use later to conduct government business.
- Materials that relate solely to an individual's family matters, outside business pursuits, professional activities or private associations.
- Work-related materials that the individual does not prepare, receive or use to transact agency business (e.g., reminders and personal observations about work and other topics). This category is the most difficult to distinguish from records and non-records because of its work-related content.

Examples of personal papers include:

- political materials,
- insurance or medical papers,
- volunteer and community service records,
- manuscripts and drafts of articles and books not related to agency business,
- diaries and journals, and
- personal calendars and appointment schedules.

4. WORKING PAPERS/FILES

Working files are rough notes, calculations or drafts used to prepare or analyze other documents. Sometimes, working files are needed to adequately document agency activities. Staff must give special attention to these files to ensure that they are not needed to supplement formal records.

Working files that must be preserved as records include:

- proposals or evaluations of options or alternatives and their implications in the development of policies and decisions;
- documented findings;
- supported recommendations; or
- comments received via a formal agency comment process, from the public or during a formal review by outside experts.

In many cases, individuals may destroy working files once the content has been incorporated into official records. Working files that are disposable once a document is finalized are those that:

- receive no official action themselves, are not reviewed or approved by others, and are only used to prepare documents for official action such as review or signature. These include:
 - budget calculations,
 - preliminary outlines for a report, and
 - lists of suggested topics to be included in a memorandum.

- relate to preliminary, interim or ancillary activities that are not needed as part of the official record. These include:
 - drafts of routine memoranda, correspondence and proposed changes,
 - informal comments received on draft publications, and
 - documents used to brief staff on a proposed item.

Offices must make their own determination whether or not to incorporate working files into the record. Copies of records must not be kept in working files beyond the approved retention of the record copy.

5. RECORD FORMAT

Records may be in any format or medium, such as paper, film, disk, maps, photographs or other physical type or form. The method of recording information may be manual, mechanical, photographic, electronic or any combination of these or other technologies.

- **E-mail as a Record**

You should treat your e-mail messages the same way you would treat paper correspondence. An e-mail message is a record if it documents the GIPSA mission or provides evidence of agency actions. To determine if e-mail messages are records consider the content of the message and whether the information:

- contains information developed in preparing briefing papers, reports or studies
- reflects the official actions taken while conducting agency business
- conveys information on agency programs, policies or essential activities
- conveys statements of policy or the rationale for official decisions or actions
- documents verbal communication, such as meetings or telephone conversations, during which policy was discussed or formulated or agency activities were planned and discussed.

If your e-mail record fits these criteria, you must keep it in accordance with the GIPSA schedule or GRS. Please refer to the handbook to determine the disposition. If the e-mail is transient and has minimal or no documentary or evidential value, NARA guidance permits you to delete the message (“transient” messages are those with short term interest of 180 days or less). Otherwise, you must print out e-mails that qualify as records, along with related transmissions and receipt of data and file them in the paper-based files.

- **Electronic Records**

An electronic record is in a form that requires a computer to process and read it. Examples of electronic records are:

- Documents created using desktop applications (e.g., word processing, spreadsheet).
- E-mail – messages transmitted over any electronic mail communications system.
- Databases – electronic information systems that automate business functions and contain a collection of data that can be manipulated. The information is dynamic and often used to support more than one group of records.
- Web sites – the software used to maintain the sites, the content on the sites, records concerning management of the site, and backend systems that are not covered by other schedules.
- Instant messages (IM) – the exchange of messages between two or more people in real-time through the use of a specialized software application.
- Digital images – images taken with a digital camera or scanned from an original document.
- Information contained on personal digital assistants (PDAs).

6. ACTIVE RECORDS

Active records are those used to conduct current Agency business, and that are generally maintained in office space and equipment. Events in this phase of the lifecycle include creating or receiving records and capturing them in a recordkeeping system.

7. CREATING AND RECEIVING RECORDS

Federal agencies are required to create and receive records that document:

- how the agency is organized,
- what functions it performs,
- how it carries out those functions,
- how it relates to other agencies and the public, or
- information of value to the agency.

CHAPTER 5

RECORDS DISPOSITION PROGRAM

1. **OBJECTIVES**. The objective of a records disposition program are to:
 - a. Provide for the proper maintenance of records deemed appropriate for permanent preservation.
 - b. Ensure efficient and prompt disposal of records no longer for current business.
 - c. Promote economy and efficiency through maintaining a sound program through the control of GIPSA records.
2. **BASIC ELEMENTS**: The primary steps in the development of a records disposition program are to:
 - a. Inventory all records in the custody of GIPSA.
 - b. Formulate specific disposition instructions for each series of records, including retention periods for temporary records, transfer periods for permanent records, and instructions for the retirement of records to Federal Records Centers (FRCs), when applicable.
 - c. Assemble the disposition instruction for each series of records into a comprehensive GIPSA records disposition schedule.
 - d. Obtain approval of the records disposition schedule from the National Archives and Records Administration (NARA).
 - e. Apply the approved records disposition schedule to all records of GIPSA.

3. **MAINTENANCE AND USE (FILE CODE):**

File Code: The filing system identifies record series with a file code. This file code is found in the file maintenance and disposition charts.

| | | | |
|-------------------------|-------------------------------------|-------------|-----------------------|
| <u>File Code</u> | Description and Filing Instructions | Disposition | Disposition Authority |
|-------------------------|-------------------------------------|-------------|-----------------------|

Description and Filing Instructions: The description and filing instructions list the record series and the specific records to be included in the series. Record series are often broken-down into sub-series. In such instances, the sub-series describes which records should be included under each disposition in the filing and disposition chart.

| | | | |
|-----------|---|-------------|-----------------------|
| File Code | <u>Description and Filing Instructions</u> | Disposition | Disposition Authority |
|-----------|---|-------------|-----------------------|

Disposition: The disposition identifies the records as temporary or permanent. Temporary records are appraised by NARA for destruction in accordance with the disposition instructions. Permanent records have also been appraised by NARA archivists. However, permanent records will eventually be transferred to NARA for permanent retention based on the appraised value of the records. **Permanent records must never be destroyed.**

| | | | |
|-----------|-------------------------------------|---------------------------|-----------------------|
| File Code | Description and Filing Instructions | <u>Disposition</u> | Disposition Authority |
|-----------|-------------------------------------|---------------------------|-----------------------|

Disposition Authority: The disposition authority indicates the source authorizing the disposition of the given records. Records common to most government agencies are included in the General Records Schedules (GRS). Those records that are unique to GIPSA receive the disposition authority from the GIPSA records schedule. The schedule is signed and approved by the Archivist of the United States.

| | | | |
|-----------|-------------------------------------|-------------|-------------------------------------|
| File Code | Description and Filing Instructions | Disposition | <u>Disposition Authority</u> |
|-----------|-------------------------------------|-------------|-------------------------------------|

CHAPTER 6

FILES OPERATIONS

1. **TYPE OF FILES:** There are various types of records which should be arranged separately for ease in filing, finding, and eventual disposal. The basic types of files are as follows:
 - a. **Case or Project Files.** Records, regardless of media, which document a specific action, transaction, event, person, place, project, or other matter. The papers may cover one or many subjects but will always be filed by a name or number contrary to general correspondence which is filed by subject. A case file documents a transaction or relationship from beginning to end. For example: purchase orders, contracts, audits, research projects. A project file is a case file that relates to a specific project or study and is more voluminous than a case file.
 - d. **Case Working Papers.** Case working papers include background and working materials such as reference materials, data analyses, summaries, drafts, and other preliminary papers leading to final results or findings. For example, routine requests or reports or data, routing correspondence about the projected case file, and extra documents or reference material, would be considered short-lived and should be separated from the essential papers by fastening on the opposite side of the folder or filed in a separate folder behind the essential papers.
 - c. **General Correspondence Files.** Records arranged and filed according to their general informational or subject content. Mainly letters and memoranda but also forms, reports, and other material, all relating to program and administrative functions, not to specific cases. Also called central, correspondence, or subject files.
 - d. **Convenience Files.** Non record copies of correspondence, forms and other documents kept solely for ease of access and reference. They include suspense, sometimes referred to as pending or tickler files, and reading files containing extra copies of outgoing material. They also are policy reference files of selected documents reflecting current policies, precedents, procedures, and instructions governing the performance of the mission and operations of the office, and used to orientate new personnel.
 - e. **Technical Reference Files.** Non record copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are needed for reference and information but are not properly a part of the office's records.
 - f. **Special Files.** Files maintained separately from textual/paper files because their physical form or characteristics require unusual care and/or because they have nonstandard sizes. Varieties include: electronic files, audiovisual files, and printed files.

2. PLANNING AND ARRANGING FILES.

- a. **General.** Record must be filed on a regular basis, preferably daily. Additional primary and numerical secondary or tertiary breakdowns within the filing system are not to be created by individual offices. Offices will submit their requests for additional file categories to the Records Officer and Records Coordinator. The purpose for requiring submission of approval is to ensure the application of records retention schedules. Records not appearing in this schedule will be submitted to the National Archives and Records Administration (NARA) for approval. As a normal rule, however, subject files and case files should provide for most additional files need by individual offices.
- b. **Avoid Unnecessary Filing.** Filing unnecessary papers is a waste of manpower and equipment. The following are some ways to avoid unnecessary filing:
 - (1) Limit the creation of formal communications for routine matters where a memo or routing slip may be substituted or a reply may be made on the incoming communication and then returned.
 - (2) Limit the number of copies prepared to those which are specifically required or requested to which serve a valid purpose.
 - (3) Eliminate the copies of routine communications which require no record, such as:
 - (a) Routine requests for publications. (Return the requesting letter with the material sent. An alternative is to reply by form letter. In neither case is a file copy needed.)
 - (b) Outgoing form letters. (A notation on the incoming letter showing the form letter identification number will suffice.)
 - (c) Routine transmittals.
 - (d) Copies of letters furnished solely for information, unless it is known they will be subsequently referred to.
 - (4) Limit “extra copy” files to those offices having justification for their maintenance.
 - (5) Limit the quantity of technical reference documents received, and file only those which will be of significant reference value.

3. ARRANGING FOLDERS, GUIDES, AND LABELS.

The orderly appearance and efficiency of any file depends upon the careful preparation, use, and arrangement of folders and guides in the drawer. Folders are necessary to keep the papers together and in order. Guides serve as “sign posts” to help speed up the filing

and finding operations. The correct use of either folders or guides will retain these operations.

- a. **General Correspondence Files.** Instructions for the arrangement of guide cards, folders, and labels for general correspondence files are in Chapter 7.
 - b. **Case Files and Other File Series.** Guide cards and folders are important for case files and other types of records, especially if the file collection is large. Guide cards reduce the area of the search and help the folders stand erect. A guide card for every two or three folders is wasteful and defeats the purpose of the guides. Four to six guide cards in each drawer or one guide to every ten folders are two rules to follow. As a general rule, place a third position (right) guide card in front of each record series to identify and isolate it from other series in the same drawer. Square-cut folders are recommended for all files. Carefully and uniformly prepared folder labels are important to any file series. Labels should be easy to read, precise, and complete.
4. **INSPECTION OF PAPERS.** Before filing any papers, ensure that only those eligible to be filed are prepared for filing, and that ineligible papers are not filed.
- a. Papers ineligible for filing include:
 - (1) Those which should be sent to another file station.
 - (2) Those which should be circulated and read before filing.
 - (3) Those authorized to be destroyed.
 - (4) Personal papers.
 - b. Papers eligible for filing include:
 - (1) Incoming communications on which required action has been completed (incoming letters and memoranda concerning matters pertinent to administrative or substantive functions of the office).
 - (2) Office copies of outgoing communications, reports, etc. (Official yellow or otherwise designated file copies retained by the originating office as official record of action taken.)
 - (3) Memoranda of conversations, memoranda to file, minutes of meetings, and other papers created within the office and not transmitted elsewhere, but needed to record the business affairs of the office.
 - (4) Agreements, contracts, or other documents having legal significance (signed copies of confirmed copies).

- (5) Fiscal or financial records which document the acquisition, distribution, utilization, or expenditure of funds.
- (6) Forms bearing information about personnel, property, accounts, procurements, shipping, programs and projects, or commodities.
- (7) Original copies of reports or cleared final drafts of publications, along with the necessary supporting documents which reflect conclusion of studies, surveys, or investigations of GIPSA.
- (8) Any other papers which establish, confirm, implement, or recommend GIPSA or other policies, programs, positions, or procedures.

Usually, only once copy of any paper will be the official file copy in any one official file station. However, another copy of the same paper may be official file copy in another official file station.

5. **FILES CLASSIFICATION.** Classifying records involves the ability to read with understanding, to analyze subject matter, to select the most appropriate subject classification, to recognize related subject matter of sufficient importance to warrant cross-referencing, and to distinguish between papers which belong in case files and those which belong in subject files.

The classifier needs a good general knowledge of what the Agency does, how it is done, and who does it. Also needed is complete and detailed knowledge of the functions and operations of the office of those file subjects which relate to those functions and operations. It also is useful to know what kinds of files have been needed in past operations.

- a. **Classifying Subject File Material.** Papers to be filed in subject files are marked in the upper right corner with file codes taken from the left column listed in this handbook. Example: ADMI – 1. The following include techniques used in selecting the correct subject file classification:
 - (1) Read the subject line, if any, first.
 - (2) Look for key phrases or familiar terms used in the text and check these against the file outline or the index.
 - (3) Note the addresses and/or originator. The identification of either may help to establish the subject area with which the document is associated.
- b. **Classifying Case File Material.** Papers are marked in the same manner as the subject material. However, not all papers for case files need to be marked. Certain forms and reports used in personnel, fiscal, and other operations show numbers,

- names, and other identifying characteristics which are self-classifying, and need no further identifying markings to ensure that they are correctly filed. Example: T&As.
- c. **Pre classification.** In this optional procedure, the originator of correspondence may obtain the proper file location code for the subject matter dealt with in the correspondence by referring to the file plan and the relative index. The originator should list the appropriate file code in the upper right corner of the correspondence.
 - d. **Classification Review.** Employees must double-check file codes before filing to ensure that they are accurate.
6. **FILING.** Assemble papers to be filed in the subject files alphabetically by their file codes, and within each primary code by secondary and tertiary file numbers. Place papers in folder facing the front of the file drawer, with the left edge of the paper resting against the bottom of the folder (in lateral files, the right edge of the paper rests against the bottom of the folder), the most recently dated material in front.

When no folder exists in subject files for a paper, e.g., a secondary subject, file the paper in the primary folder until there are about 10 papers on the same secondary subject. Then make a folder for the proper breakdown. The same rule applies to a tertiary subject. The document itself should be correctly classified, however, at the time of initial filing.

Subdivide folder which are filled to capacity (about ¾"). There are three ways to do this:

- a. **Subdivision by Subject.** In a general correspondence file, a folder filled to capacity before the end of the year may indicate a need for subdivision by subject.
 - b. **Subdivision by Type of Material.** A case file folder may be subdivided by placing material on one aspect of the case in one folder. For example, statistical report forms relating to a special project may be placed in one folder. All other material, such as correspondence, would be placed in another folder. All material in the two folders would relate to one subject.
 - c. **Subdivision by Date.** When subdivision by subject or type of material is not practical, use dates. Enter on both folder tabs the inclusive date of the material in the respective folders.
7. **PREPARING FILE FOLDER LABELS.**
- a. **Subject Files.** Use white pressure-sensitive labels. Show the file code (such as PROP for Property Records), folder title, period covered by the folder (fiscal year – FY, calendar year – CY, or leave year – LY) and the disposition. The file code and subject title appear on the label of each subject file folder exactly as they appear in the Subject Outline. When using shelf files, place folder labels in the third (right) position of the folders.

b. Case Files may be arranged:

- (1) Alphabetically by name of person, State, city, company, etc., or by grouping within a geographical location such as cases within in a city, State, or area.
- (2) According to a number assigned to identify the case.

Case files normally are filed directly behind the subject to which they apply. However, they may be maintained separately if voluminous or if they would be more readily accessible to the user.

- c. Subject-Expansion Files.** These files are labeled to show the further breakdown of prescribed subject file code. The additional information is supplied by the user, rather than from any part of the Subject Outlines.

The file code and title of the primary, secondary, or tertiary, as shown in the Subject Outline, is shown on the top line of the file label. The added information, such as name, number, State, or title, which identifies the further breakdown, is shown in parentheses.

Example: PROP-1 Property Disposal Correspondence
FY 13
DESTROY: FY 15

The position of the subject-expansion file label on the folder is the same as that of the primary, secondary, or tertiary file code to which the subject-expansion file relates.

- d. Nonrecord Files.** The filing of nonrecord material in filing cabinets should be avoided where possible. When it is necessary to maintain nonrecord material in filing cabinets, file the material in a separate folder behind the subject folder to which it applies. When a subject folder has case files behind it, file the nonrecord folder behind the case files. Prepare the label in the same manner as a subject folder, except type on the lower line, "Reference" to the left and "NONRECORD" to the right.

Example:

| | |
|-----------|-----------|
| FILE Name | FY 13 |
| Reference | NONRECORD |

Place the label in the same position on the nonrecord folder as the label on the preceding subject folder.

CROSS-REFERENCE. A cross-reference is a means of referring to a document by file identification other than that under which it is filed. If a document being classified involves more than one subject or case transaction and there is a possibility it might be asked for by either, a cross-reference should be prepared as a finding aid.

Avoid making and filing unnecessary cross-reference forms, as they take up valuable space and time.

FASTENERS. File papers in subject files loose in the folder, not fastened with program fasteners. Prong fasteners may be used for fastening documents in a case file.

Fasten individual papers together within file folders only when it is necessary to keep them together because of their functional relationship. Examples are:

- a. A multi-page communication.
- b. A report, contract, or agreement.
- c. A communication with its enclosures.

Wire staples are used for fastening related papers together. **DO NOT** use bands, pins, paper clips, or tape. They deteriorate and ruin records.

FILE DRAWER LABELS. Label the front of each file drawer to show its contents. Show on the label the subjects and period covered.

FILE GUIDE CARDS. Use file guide cards to visually aid in finding various segments of a file and to separate groups of files in a file drawer. Do not use a mixture of letter-size and legal-size folders in the same cabinet. For most files, five guide cards per drawer is sufficient.

CUT-OFF. Cut-off subject files once a year. No additional material is filed in the old set of folders. A new set for the current year (FY) should be prepared. Usually, files are cut-off at the end of the fiscal year (September 30).

Bring forward to the new folders material on policy or other material which is still current.

Separate inactive subject files or closed case files physically from active files, as follows:

- a. **Inactive Subject Files:** Place last year's files in a separate drawer or drawers.
- b. **Closed Case Files:** Remove closed case files to a separate drawer. Mark closing date on the folder labels.

When reference to inactive and closed files ceases, follow disposition procedures.

CHAPTER 7

SUBJECT FILE CLASSIFICATION SYSTEM

1. **DEFINITION AND PURPOSE.** The subjective arrangement of general correspondence and other papers has been standardized throughout GIPSA. This standardized arrangement is known as the GIPSA Subject File Classification System. The system is designed to arrange and group general correspondence and similar papers by the function to which their subject relates.
2. **APPLICABILITY.** The Subject File Classification System is prescribed for use by all official file stations that maintain general correspondence and case files. It is intended particularly for use in organizing program general correspondence. This correspondence relates to the assigned mission, function, or responsibility of a GIPSA office. However, if volume warrants, correspondence and other papers regarding the routine internal administration or housekeeping activities of an office also may be organized according to the Subject File Classification System.
3. **DISTINCTION BETWEEN SUBJECT CORRESPONDENCE AND OTHE FILE GROUPS.** Record keepers should be fully aware of the type of material placed in a subject correspondence file. The Subject File Classification System applies only to general correspondence papers. A letter regarding a specific contract or investigation not considered to be a general correspondence paper of this type is placed in a case file documenting the specific transactions. A letter regarding investigation procedures in general or a letter concerning the processing of contracts in general is filed in the general correspondence file. The ability to distinguish between subject correspondence and case files or other records is vital to any good files operation.
4. **TYPE OF SYSTEM.** The Subject File Classification System is subject-numeric type. The system consists of selected main (primary) subject titles with related subjects grouped in outline form as subdivisions of the primary subject titles. These subdivisions are known as secondary (second-level) subject and tertiary (third-level) subjects.

ESTABLISHING THE SUBJECT FILE

5. **GENERAL.** When setting up a subject file, always keep in mind that the topics in each outline refer to subjects and that all classifying and filing is by subject.
6. **MASTER SUBJECT OUTLINE USED AS BASIS FOR ESTABLISHING THE SUBJECT FILE.**
 - a. **The Master Subject Outline.** The master outline in Chapter is intended only as a reference guide in establishing a subject file to meet the specific requirements of the user. Subjects not specifically provided in the master outline may be added when approved by the Records Officer.

- b. **The Primary Subjects.** The primary subjects in the master outline represent functions of GIPSA. Generally, the primary subject outline will be used almost entirely by the office responsible for the function represented by the primary topic. However, no primary subject has been prepared for the exclusive use of any one office. Any of the subject topics in the master outline may be used as required by any office.
 - c. **Secondary Subjects.** Secondary subjects and other topics may be elevated and used as primary subjects when they represent the primary function or mission of the office.
7. **SELECTION OF TOPICS.** Use only that part of the master outline that meets the needs of the official file station. The system is designed to cover a subject in-depth except in the subject area which covers the functional responsibility of that office. Often, the primary subject topics alone will be sufficient to file all papers on a particular subject if another office is responsible for the function represented by that subject. Avoid setting up folders that will contain only one or two papers. A topic usually is not selected unless there will be 5 to 10 papers filed under it during the year. The ideal average is about 25 papers per folder.
8. **ADDITION OF TOPICS.** Add new subjects (topics) only when experience indicates the reference rate and the volume of documents warrant a separate subdivision. The need to add topics usually occurs whenever a subject area coincides with a major function or program responsibility of the office. Make the new subject title as short and clear as possible. Be certain to insert a new topic at the proper level so that it represents subject coverage parallel to other topics.
9. **NUMBERING TOPICS.** When numbering secondary, tertiary, or further subdivisions, assign your own number in sequence under each primary outline.
10. **GUIDES.** Place folders and guides in the file drawer in the exact sequence in which subjects appear in the office file outline, starting from the top of the drawer, with the guides preceding the related folders. The sequence of the drawers should be from top to bottom of the cabinets. Use the second position of one-third cut guide cards for subject labels. Normally, active files should show the full file code number and title of the topic for the first folder behind the guide.
11. **LABELS.** Labels through the tertiary level should be typed and placed in one position only, one-half inch from the left side of the square-cut folder tab. Labels for detailed subjects or breakdowns beyond the tertiary level can be placed one-half inch from the right side of the folder tab. This arrangement improves the appearance and speeds filing operations. The eye can locate desired folders much faster if the labels are in a straight row rather than zigzagged across the file drawer. Folder labels for the subject files will include the file code symbol, the title of the particular subject material in the folder, and the fiscal year.
- NOTE:** When using shelf files, place folder labels on the edge of the folder to the outside of the drawer or shelf.

12. NUMBERING TOPICS. When numbering secondary, tertiary, or further subdivisions, assign your own number in sequence under each primary outline.

13. GUIDES. Place folders and guides in the file drawer in the exact sequence in which subjects appear in the office file outline, starting from the top of the drawer, with the guides preceding the related folders. The sequence of the drawers should be from top to bottom of the cabinets. Use the second position of one-third cut guide cards for subject labels. Normally, active files should show the full file code number and title of the topic for the first folder behind the guide.

14. LABELS. Labels through the tertiary level should be typed and placed in one position only, one-half inch from the left side of the square-cut folder tab. Labels for detailed subjects or breakdowns beyond the tertiary level can be placed one-half inch from the right side of the folder tab. This arrangement improves the appearances and speeds filing operations. The eye can locate desired folders much faster if the labels are in a straight row rather than zigzagged across the file drawer. Folder labels for the subject files will include the file code symbol, the title of the particular subject material in the folder, and the fiscal year.

NOTE: When using shelf files, place folder labels on the edge of the folder to the outside of the drawer or shelf.

CLASSIFYING SUBJECT FILE PAPERS

15. BASIC STEPS IN CLASSIFYING. Classifying subject correspondence material is more complex and distinctly different from classifying other types of papers. Papers must be read and analyzed, then classified on the basis of their informational content. How quickly a particular document can be located after it has been classified before filing. The basic steps in classifying subject material are as follows:

- a. **Read and Analyze the Document.** Read and analyze the document to determine its major subject. The subject line appearing above the body of the correspondence is often helpful in classifying but should not be relied upon entirely. It may be vague, misleading, or even remote from the real subject of the correspondence concerned.
- b. **File Designation.** Select the proper file designation from the office subject file outline. First, select the appropriate primary subject category and then the correct subdivision of the primary subject, if any. If no subdivision has been provided, use the primary subject itself as the file designation. When a sufficient volume of paper accumulates on a subdivision which was not originally selected as a subject topic, add the new topic to the file outline and create a folder to accommodate these papers.

- c. **Subject-Numeric File Code.** Write the subject-numeric file code in the upper right hand corner of the file copy.
- d. **The Reference.** Lightly underscore the reference when papers refer to previous papers already on file. This will emphasize that there are previous papers involved. Earlier material should be consolidated with later correspondence on the same subject.

CHAPTER 8

FILES DISPOSITION – RECORDS SCHEDULING

1. **GENERAL.** Disposition means the disposal (destruction), retirement, transfer, or conversion to other forms, such as microforms, of records.
 - a. **Records Disposal Schedule.** All prior GIPSA disposal schedules are superseded by this Handbook.
 - b. **Yearly Review of Records.** Before the beginning of the next fiscal year, file custodians will review all files in their custody, and segregate those files which will be eligible for retirement, disposal, or other disposition at the end of the fiscal year. The simplest method of segregating files is to group them by category: nonrecords, records of limited retention, and permanent.
2. **DISPOSITION EXPLAINED.** Disposition includes the retirement, transfer, or destruction of records.
 - a. **Retirement.** Records are considered “retired” when they are sent to a designated Federal Records Center (FRC) for storage, servicing, and ultimate destruction or retention.
 - b. **Transfer.** Disposition includes the transfer or a change of custody of records from one organization or agency to another. Records are considered “retired” when they are transferred to an FRC. Records may be transferred to another office as a result of the realignment of functions or reorganization or retired to an FRC without prior approval. However, any other transfer of records to another office or agency must be approved by GIPSA Records Officer.
 - c. **Destruction.** The destruction of records includes the physical destruction of the record material itself or the removal of the informational content. Records authorized for destruction by this Handbook will be:
 - (1) Placed in wastebaskets when the quantity is small and the records are unclassified. Consider selling as waste paper any large quantity of records eligible for destruction.

(2) Destroyed by pulping, burning, or macerating if, in the opinion of the FIRM, this action is necessary to avoid disclosure of information that might be prejudicial to GIPSA, the public, or private interest.

(3) Erased and reused, if appropriate, when the record consists of magnetic tape or comparable media.

3. DISPOSITION STANDARDS.

a. Authority. Federal law requires proper authorization by the National Archives and Records Administration (NARA) to destroy Government records. Authorization for the destruction of records is contained in the Agency records disposition schedules. The schedules provide for the selective retention of records of continuing value and the destruction of records of temporary value after the expiration of a specified period of time or upon the occurrence of a specific event. The retirement procedures in Chapter 10 provide instructions for moving inactive and semi-active records from office space to low cost storage facilities.

(1) **Official Records.** Official records will not be destroyed unless they meet the provisions of the disposal schedules in this Handbook.

(2) **Nonrecord Material.** Nonrecord material may be destroyed when its purpose is served.

b. Numbering. The numbers assigned to the disposition schedules serve both as an identification of the file series and as an abbreviation of the disposition authority. All file series relating to the same functional area grouped together. The specific schedule number is derived from the internal arrangement and the sequence in which the schedules appear.

c. Application for Review of Schedules. Each headquarters, field, and regional office is responsible for ensuring compliance with the provisions of records disposition schedules and ascertaining that all records within its immediate control are subject to appropriate scrutiny. Each office will review its files at least annually to determine whether the applicable schedules are adequate and to ensure that the office is in compliance with GIPSA's Records Management Handbook.

d. Additions, Deletions, and Changes.

Recommendations to add, delete, or change records disposition schedules will be made when annual reviews disclose:

- (1) Record series not covered by the schedules.
 - (2) Items that should be deleted from the schedules because the records involved are no longer being created or maintained.
 - (3) Retention periods which need to be changed. Changes should be recommended only when the need is clearly indicated and justified.
- e. Submission of Revisions.** Proposed disposition schedule revisions will be submitted to the Records Management Coordinator by the appropriate GIPSA division. Recommendations must contain the following information:
- (1) GIPSA unit(s) accumulating the records.
 - (2) A clear and meaningful description of the records, including the purpose for which the records were created, their relationship to the program activities of the unit creating or receiving them, and their relationship with other records, including duplication elsewhere in content or in substance.
 - (3) A proposed period of retention no longer than necessary to satisfy normal administrative, historical, legal, and fiscal requirements, with full justification for the retention period. If the retention period proposed is longer than that for which the records are in active use, the recommendation should provide for their transfer to FRC.

f. Representative Samples of Paper Records.

Representative samples of paper records recommended for destruction or permanent retention must be submitted with the related recommendations. Samples will not be returned unless requested.

- g. Review, Coordination, and Evaluation.** The Records Officer will review, coordinate, and evaluate the information furnished for conformity with established policies and regulations. If the decision is made to add or change a disposition schedule, the Records Officer will take necessary action to obtain approval for the disposal authority. Unless the record is unique to one office, requests for changes or additions to a disposition standard will be written to cover identical records GIPSAwide. Additions or changes to schedules will be published as numbered changes to this Handbook. Records recommended for disposal will not be destroyed until such specific changes are issued.

4. FILES CUTOFF PROCEDURES.

Definition and Objectives.

- a. Segregation of Active and Inactive Files.** Files “cutoff” is the segregation of active and inactive files. Established periodic cutoff of files is essential to effectively control record accumulations and their growth and to facilitate economical disposition in convenient blocks. At least annually, the appropriate GIPSA records custodians will cut-off files and segregate inactive files from active files; files and segregate inactive files from active files; dispose of files eligible for retirement or destruction; and destroy all noncurrent technical reference materials.
- b. Controlling the Size of the File.** Cutting-off files is important because it controls the size of the file. If not cutoff periodically, file contents will grow until individual papers become hard to find. When files are cutoff periodically, older files can be progressively moved from active files space to storage space as their reference activity declines.
- c. Cutoff Standards.** Prescribed cutoff instructions are included in records disposition schedules, where applicable. Cutoff standards are based on the following criteria for the various types of records:
 - (1) **Chronological Sequence Files.** Chronological sequence files, such as accounting records, are filed by period of accounting records, are filed by period of account (fiscal year) and lend themselves to cutoff procedures. Chronologically arranged records can be readily cutoff and retired in convenient blocks.
 - (2) **Subject Files.** Subject files must be cutoff at planned intervals. There is no natural cutoff point such as occurs with case files or chronologically arranged records. Subject files are usually maintained on a fiscal or calendar year basis.
 - (3) **Case or Project Files.** Case or project files are often cutoff upon the termination of a transaction or expiration of an event, such as separation of personnel, final contract payment, or completion of a project.

When closed, the case file should be marked with the date of closing and placed in an inactive file then can be retired or destroyed in convenient fiscal year blocks.

Case files that continue over a long span of years can be cutoff by setting up a new folder each year and retiring the prior year folders, which have little reference activity.

- (4) **Technical Reference Materials.** Technical reference materials have no established cutoff and are destroyed when they are superseded, obsolete, or no longer needed. These files must be reviewed at least annually to determine if they are current and still useful.

CHAPTER 9

RETIREMENT GUIDELINES

1. **RECORDS RETIREMENT (GENERAL).** Offices must retain as current records a minimum volume of records consistent with efficient operations. Inactive records on hand and not scheduled for early destruction must be retired to appropriate Federal Records Centers (FRCs). The disposition standards in Chapter 10 include retirement instructions for many file series. Listed below are general criteria regarding the retirement of records:
 - a. **Retention of Less than 3 Years.** Records cannot be retired if they will be destroyed with one year of the transfer. Occasionally, records with less than year's retention may be retired if the file is bulky continued retention in office space is costly, and the local FRC agrees in writing to the transfer.
 - b. **Volume.** Small amounts of records (less than one cubic foot) may not be retired as a sole transfer action. Wait until at least one or two boxes are ready for transfer. Records should be retired at annual intervals except when the volume warrants more frequent transfers.
2. **RETIREMENT DEVIATIONS.** Upon request by the records custodian, the Records Officer is authorized to approve specific deviations from retirement procedures on an individual basis. Deviations apply only to records retirements. No records will be destroyed sooner than authorized by approved disposal schedules unless the schedule is officially changed. Exceptions to retirement procedures will be approved in writing by the Records Officer to the applicable records custodian.
3. **NONRECORD DISPOSAL LIST.** The following list describes items which may be disposed of as nonrecord working file material. Although these items are useful in daily operation and may appear to acquire record characteristics because they are involved in daily activities, they do not serve to document GIPSA's procedures, practices, or operations.
 - a. **Extra Copies of Security Papers.** Extra copies of security papers may be destroyed as nonrecord material. Method of destruction is the same for extra copies of these papers as with official copies.
 - b. **Extra Copy of Unclassified Papers.** Because the official files contain the record copies for documentation purposes, extra copies are nonrecord and may be disposed of at any time, unless otherwise specifically provided for in the disposal schedule.
 - c. **Reading Files, Chronological Files, Index Files, and Other Files Used as Cross-reference Finding Aids.** Index files are made up of extra copies of correspondence, letters, and memoranda, arranged by date, number, or organizational element. Like

newspapers, reading files present a random selection of topics for current interest and information. Ready files are not suitable for documentation and may be disposed of after circulation to designated readers, except for PSP. Files used as finding devices are unnecessary in view of the prescribed GIPSA and disposal system. Since they constitute duplication of subject matter already in official files, cross-reference and index files should be destroyed as nonrecord material.

- d. **Suspense Files.** These are extra copies of documents which serve as reminders of action due on a certain date or other indicators of chronological or sequential character which do not acquire a record character from this function. They may be destroyed when action is completed.
- e. **Publications.** Books, circulars, catalogs, and periodicals which are given general public or Governmentwide distribution are nonrecord. All expendable published material may be destroyed when superseded, obsolete, or otherwise not needed. Newspaper and magazine clippings and abstracts from them pertinent to GIPSA programs or which document the GIPSA mission should be combined with official files. This item does not apply to publications originated by your office. These are covered in the GIPSA disposal schedules.
- f. **Reproduction Materials.** These include any device which performs the function of causing reproduction of printed copy. Destroy upon completion of the production job. If it is anticipated a reprint will be needed, they may be retained for that purpose.
- g. **Work Papers.** Rough drafts, notes, figures, and calculations, etc., which an individual uses in preparation of a letter, report, or other finished product may be disposed of when the product is satisfactorily completed and approved. Work papers from Audits, investigations, and reviews must be maintained in accordance with the program file subject heading "Regulatory Functions."
- h. **Stenographic Notes.** Stenographic notes, including filled notebooks, recording disks from stenographic machines, and steno tape recordings, are of no value when the text has been satisfactorily transcribed and may be destroyed. Investigation notes are considered part of the working papers and must be maintained in accordance with item g. above.
- i. **Wrappers, Labels, Envelopes, and Routine Slips.** Destroy immediately. EXCEPTION: Envelopes which list the time and/or date of mailing and/or show the time and date of receipt when necessary to document a file, such as sealed bid envelopes documenting a contract file, may be retained with the file.
- j. **Personal Files.** These are filed maintained by an individual for the personal management of his/her affairs and include such things as employee copies of travel papers and vouchers, employee copies of T&A's, employee copies of personnel actions, salary and allowance papers, etc., already documented in official files. Such material should be maintained in the employee's desk, NOT in the file cabinets. If

they are forgotten by a departed employee, they may be mailed to his/her forwarding address. If the employee does not want them, they may be destroyed as nonrecord material.

- k. **Working Files.** Folders which contain duplicates of papers in official files, and other related papers used by individuals in day-to-day transactions of their work are nonrecord. These are papers of a temporary or transitory value which are used primarily as reference or background material but retention of which is not required as supporting evidence of an official policy, program operation, or transaction. They may be destroyed at the discretion of the individual who created them.
- l. **Letters of General Inquiry.** These letters do not involve substantive questions and, when answered, complete the cycle of correspondence and have no further value. Example: Requests for and transmittals of publications, photographs, etc. Dispose when reply is made or information is furnished. **OPTIONAL METHOD:** Return letters to the originator along with the requested material.
- m. **Notification of Change of Address.** Dispose when the change has been made on the records.
- n. **Routine Reference and Control Papers.** These include job control records, status cards, routing slips, etc. Dispose when work is completed for when no longer needed for operating purpose.
- o. **Stocks of Superseded or Obsolete Blank Forms and Processed Documents Preserved for Supply.** Dispose when obsolete or superseded.
- p. **Mailing Lists.** These include individual cards. Dispose when obsolete.

CHAPTER 10

TRANSFER, PACKING, SHIPPING, AND STORAGE OF RECORDS

1. **GENERAL.** This chapter provides instructions on the transfer, packing, and shipping, and storage of records eligible for retirement to Federal Records Centers (FRCs), or the National Archives. Regional PRCs are located throughout the United States. In addition there are two National Records Centers. The Washington national Records Center (WNRC), Suitland, Maryland, is available for the use of agencies in the Washington, DC area. The National Personnel Records Center (NPRC), St. Louis, Missouri, house the personnel and pay records of all Federal employees. Exhibit 11-1 lists the addresses of the FRCs and the area served by each. Offices will retire eligible records to the nearest center. Included below are instructions for the retirement of files to the FRC. Local procedures should be followed when retiring records to a regional FRC, when applicable.
2. **TRANSERRING RECORDS.** When records become eligible for transfer, the appropriate GIPSA records custodian should estimate the volume in cubic feet involved and obtain the necessary fiberboard boxes.
 - a. **Washington Offices.** Washington records custodians must inform the Records Coordinator and Officer of the nature and quantity of records proposed for retirement and any additional information that the Records Officer may require. The Records Officer will assign an accession number for use in retiring the records to the WNRC.
 - b. **Field and Regional Offices.** Field and regional office records custodians must inform Records Coordinator and Records Officer when records retirement is planned. The records custodian will advise the FRC Manager in the area in which the records are located that records will be retired.
 - (1) **Selection of Records.** Before files are boxes for shipment, the appropriate GIPSA records custodian will screen them to eliminate nonrecord material. Screening must be limited to complete folders or subject classification categories. Retired records are subject to recall and reuse; therefore, effective controls must be maintained over them.
 - (2) File custodians should survey their files **NO LATER THAN JUNE 30** of each year and set aside the inactive records which will be eligible for retirement on **SEPTEMBER 30**. The files selected ordinarily will include all subject files more than 3 years old and case files which are completed or which are referred to less than once a month per file drawer. A minimum of 1 cubic foot (1 box) is required to initiate retirement.
 - (3) Do not send nonrecords to the FRC. (See Nonrecord Disposal List, Chapter 4).

- c. **Packing and Shipping Records.** To the maximum extent practicable, all inactive records of an office (section, branch, or division) eligible for retirement should be assembled into one shipment and retired annually. Standard FRC boxes designed for the shipment of records hold 1 cubic foot of records. The contents of one, 36-inch size file drawer will require two and one-half boxes, and one 42-inch size file drawer will require three boxes. Consult the Records Officer for shipping containers for odd-size documents such as blueprints, maps, or ledgers. Standard records center boxes are available through normal supply channels.

| <u>Federal Stock No.</u> | <u>Description</u> | <u>Unit of Issue</u> |
|--------------------------|------------------------------|----------------------|
| 8115-00-117-8249 | Box, Record (Tuck Bottom) | 25 per Bundle |

- (1) Without disturbing the existing filing arrangement, pack the records firmly in the box. To make future references easier, records should not be packed too tight as to hinder withdrawal. Do not mix records with different retention periods in the same box. Tops of boxes should be folded. **Use only paper tape to seal boxes.**
 - (2) Face all folders in the same direction. Do not pack file guide cards. Letter-size files are placed facing the side of the box with the seam to the back.
 - (3) Fill each box completely, but do not over pack to cause bulges.
 - (4) Wrap oversize and undersize records, such as ledgers, equivalent to less than ½ box, separately in heavy wrapping paper. Tie or tape the package bottom securely, label, and number each package as if it were a box.
3. **RECORDS TRANSMITTAL FORM.** Records are transmitted to FRCs by SF-135, Records Transmittal and Receipt (see Exhibit 1). Exhibit 2 provides instructions for the preparation of the SF-135.
- a. GIPSA Washington records custodians will prepare an original and three copies of the SF-135. Permanent records require the submission of a shelf list. The shelf list is a listing of the records in each box; e.g., real property disposal cases, or contract files, itemized in sufficient detail to provide program officials with the information required for research or retrieving retired records. Custodians will forward an original and two copies of the SF-135, and if applicable, three copies of the shelf list to the Records Officer, and retain a copy of the SF-135 and shelf list in a suspense file until the return of the approved copy. The Records Officer will review the SF-135 to ensure completeness of entries, accurate identification of the records, proper citation of disposition authorizations, and the applicability of the indicated retention periods or destruction dates. The Records Officer will inspect the boxes in each accession to ensure they are packed and numbered correctly. Upon completion of the review, the Records Officer will:

(1) Sign and transmit the original and two copies of the SF-135 to the WNRC.

(2) Return one copy of the approved SF-135 to the records custodian and retain one copy of the SF-135 and the shelf list in the suspense file.

The records custodian will place one copy of the SF-135 in the first box of the first accession listed on each SF-135.

b. GIPSA field or regional office records custodians will prepare an original of the SF-135 and two copies of a shelf list. Custodians retiring the records will retain one copy of the SF-135 and shelf list in suspense and forward the original of the SF-135 and the other copy of the shelf list to the FIRM, Records Officer. The Records Officer will review the SF-135 to ensure completeness of entire, accurate identification of the records, proper citation of disposition authorizations, and the applicability of the indicated retention periods or destruction dates. Upon completion of the review, the Records Officer will:

(1) Authorize, sign, and transmit the original and two copies of the SF-135 to the appropriate FRC.

(2) Return one copy of the approved SF-135 to the records custodian and retain one copy of the SF-135 and the shelf list in the suspense file.

c. Upon receipt of the shipment, the FRC will return a receipt copy of the SF-135 to the Records Officer. The Records Officer will file the receipted copy of the SF-135 in the master file and send a copy to the originating office.

d. **Labeling Records Center Boxes.** Leave blank. The records custodian will label each box after it has been inspected and approved. The information will be marked clearly with a black felt tip pen in letters at least 1 inch from the front end of the box (unstapled end).

(1) The accession number should be in the upper left corner.

(2) The box number should be in the upper right corner to indicate its relationship to the total number of boxes in the accession; e.g., 1/6, 2/6, etc.

e. **Submission of SF-135.**

(1) Washington Offices will forward the SF-135 to the Records officer for signature. The Records Officer will forward the SF-135 to the appropriate FRC and assign the accession numbers for headquarters offices in Washington.

(2) Field and regional offices will submit an original and three copies for the SF-135 to the Records Officer for review, approval, and transmittal to the appropriate FRC. A suspense copy will be retained and confirmation copy will be returned to the originating office.

- (3) The WNRC or FRC will review the SF-135 for completeness and determine the propriety of the transfer. WNRC or FRC will no longer routinely accept transfers of unscheduled or (“Retain”) records that the National Archives and Records Administration has not inspected or apprised for permanent retention. Be sure to cite the disposal schedule number and the applicable item in bloc 6(h) of the SF-135. If the disposal authority is not shown on the SF-135, WNRC or FRC will return the SF-135 for completion of that block.
- (4) When an accession of 100 cubic feet or more is to be sent to the WNRC or FRC, the director of WNRC or FRC must receive written notification at least two weeks before the records are actually shipped to allow for allocation of space and manpower.
4. **SHIPPING THE RECORDS**. The most economical means available should be used to ship files to a FRC. If records are to be moved only a short distance, FRC trucks may be available to pick them up. Contact the FRC regarding this. Otherwise, records may be transferred by regular United States mail for small shipments (under 100 lbs.) or by commercial motor or rail freight for large shipments with costs to be paid by GIPSA. **It is highly recommended that ALL shipments be sent by commercial mail or rail freight.** To obtain the lowest freight rate for records shipment, enter the following description on fills or lading or other shipping documents:

Records, Office, Old (the agreed or declared value of the property is hereby specifically states by the shipper to be not exceeding 3-1/2 cents per pound.)
Shipping regulations require the boxes to be sealed and addressed. Properly packed containers weigh approximately 25 to 30 pounds each.

a. **Washington Headquarters – Special Instructions for Transferring Records to a FRC.**

- (1) If WNRC approves the transfer, WNRC will complete block 6(j) indicating the location of the first box in each series records. WNRC will return the SF-135 to the Records Officer indicating the records may be transferred. The Records Officer will arrange with the transferring office to pick up and transfer the records. The Records Officer will furnish a copy of the SF-135 to be placed in the first box of the accession.

NOTE: Delays in shipment of **more than 90 days** will result in the return of the SF-135 requiring resubmission of the paperwork.

- (2) After receipt of the records, WNRC will return the SF-135 to the Records Officer. A copy will be furnished to the transferring office.

b. **Field and Regional Offices – Special Instructions for Transferring Records to a FRC (if applicable).**

- (1) If a FRC approves the transfer, the FRC will complete block 6(j) indicating the location of the first box in each series of records. The FRC will return the SF-135 to the field or regional office indicating the records may be transferred.

NOTE: Delays in shipment of **more than 90 days** will result in the return of the SF-135 requiring resubmission of the paperwork.

- (2) Shipment of Records. The transferring office will:

- a. Tape the boxes closed, place a shipping or mailing label on each box, and determine the least expensive method of shipment.
- b. Ship parcel post (4th class) if the number of boxes is small, if it is the least expensive method, if a post office is nearby, or if a parcel post pickup is made in the building. If parcel post pickup service is provided, contact the local post office for quantity instructions.
- c. Ship by freight under a SF-1103, U.S. Government Bill of Lading, (GBL) if it is not practical to use parcel post service. To obtain the lowest shipping rate, include the following statement on the GBL:

“The agreed or declared value of this property is hereby specifically stated by the shipper not to exceed 3-1/2 cents per pound.” When shipping by GBL, always place the GBL number on each shipping label.

Instruct the carrier to contact the Accession and Disposal Branch at the appropriate FRC, 24 hours **BEFORE** delivery. Note this requirement on the GBL.

- d. Retain the receipt of the SF-135 from the FRC. The FRC will send the SF-135 to the Administrative Officer. The Administrative Officer will furnish a copy of the SF-135 to the transferring office.
- c. Transfers to NPRC. Official personnel folders and related payroll records will be retired to NPRC (civilian) at St. Louis, Missouri, as prescribed in the records disposition standards and as further explained in this paragraph. This Center does not acknowledge receipt of records.
 - d. **Transfer of General Accounting Office (GAO) Audit Records.** GAO Site Audit Records are those which are audited or are subject to audit by GAO at the site where the records are located. Accountable officers' records and site audit records are GIPSA records maintained for audit by GAO. These records are located in GIPSA's budget functional area. They cannot be destroyed by GIPSA but must be sent to the FRC. GAO Site Audit Records consist of:

- (1) Statements of transactions.

- (2) Statements of accountability.
 - (3) Collection and disbursement schedules.
 - (4) All other schedules and vouchers or documents used as schedules or vouchers.
5. **REFERRALS TO STORED RECORDS.** Even though records are physically stored in a FRC, they are readily accessible to the offices that retire them. The requester may ask for information from the records or for the loan or return of the records themselves. Optional Form 11, Reference Request – Federal Records Center, is available for use in requesting reference service. (Exception: Standard Form 127, Request for Official Personnel Folder, will be used for the retrieval of or reference to personnel records from NPRC.) Persons requesting reference service should specify:
- a. The name and location of the person for whom the request is being made.
 - b. The accession number of the transfer in which the records were included, as shown on the SF-135.
 - c. A description of the information and/or records desired.
 - d. The box number of the carton in which the records are located.
 - e. Whether a permanent or temporary withdrawal is being made. Requests for permanent withdrawal must be in writing.
 - f. Urgent requests. For urgent requests, contact the Records Officer directly by telephone. The Records Officer will contact the records center by telephone and have the records sent directly to the requester. Provide the same information as in a routine request plus the requester's telephone number.
 - g. Returning Records to the FRC.
- (1) **Folders.** Contact the Records Officer that folders are being returned to the FRC, then return the folders to the appropriate FRC. Use chain or manila (draft) envelopes. If there are too many folders for an envelope, wrap them in heavy paper. Address the envelope or package to: Chief, Reference Service Branch, Washington National Records Center, 4205 Suitland Road, Washington, DC 20409 or to the appropriate FRC or field Administrative Officer.
- (2) **Boxes.** Contact the Records Officer that boxes are being returned to the FRC. Provide the following information;

Name, program or division and office, room number, and building.

Accession number(s).

Number of boxes under each accession.

After contacting the Records Officer, records are then ready to be returned to the FRC. Be sure the records are returned in the same boxes and in the same order in which they were received. It is highly recommended that boxes be returned by a commercial carrier.

6. **DISPOSITION OF RETIRED RECORDS.**

- a. The disposition instructions contained in this Handbook are mandatory. In instances where a claim, investigation, litigation, or other similar action arises and there is a requirement for the retired records to be held beyond the scheduled disposal date, the appropriate GIPSA program official having responsibility for the records in question will prepare a letter requesting the appropriate Records Officer to suspend disposal action. The Records Officer will notify the FRC to suspend disposal action at each FRC.
- b. An office may have retired records to a FRC without a specific disposal authority cited on the SF-135. Records may have been retired on a contingency (“pending”) basis. The FRC will use GSA Form 1301, Notice of Intent to Dispose of Records, or an equivalent form to notify agencies of records scheduled for disposal. In these cases, the FRC will notify the Records Officer of the intent to destroy. The Records Officer will contact the appropriate program official and obtain concurrence for disposal.
- c. The program official or Records Officer must respond within 90 calendar days from the date of the FRC’s notice if they do not concur in the disposal. The FRC will destroy the records in accordance with the applicable disposition authority if the program official or Records Officer does not send a written exception or nonconcurrence within the 90 calendar days.

NATIONAL ARCHIVES & RECORDS ADMINISTRATION

FEDERAL RECORDS CENTERS

Atlanta Federal Records Center

Serving Federal agencies in Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee.

Contact Information

Main Telephone: 404 736-2820

Address

4712 Southpark Blvd.
Ellenwood, GA 30294

Boston Federal Records Center

Serving Federal agencies in Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont.

Contact Information

Main Telephone: 781 663-0130

Address

380 Trapelo Road
Waltham, MA 02452-6399

Chicago Federal Records Center

We provide storage and other services for inactive records created or received by Federal agencies in Illinois, Minnesota, Wisconsin, and Federal courts in Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin.

Contact Information

Main Telephone: 773-948-9000

Address

7358 South Pulaski Road
Chicago, IL 60629-5898

Dayton Federal Records Center

Serving Federal agencies in Ohio, Michigan and, Indiana.

Contact Information

Main Telephone: 937 425-0600

Address

3150 Springboro Road
Dayton, Ohio 45439

Denver Federal Records Center

Colorado, Montana, New Mexico, North Dakota, South Dakota, Utah and Wyoming.

Contact Information

Main Telephone: 303 407-5760

Address

17101 Huron Street
Broomfield, Colorado 80023-8909

Fort Worth Federal Records Center

Serving Arkansas, Louisiana, Oklahoma, and Texas.

Contact Information

Main Telephone: 817 551-2000

Address

1400 John Burgess Drive
Fort Worth, Texas 76140

Lee's Summit Federal Records Center

Serving Federal agencies in New York, New Jersey, Puerto Rico, and the US Virgin Islands.

Contact Information

Main Telephone: 816 268-8100

Address

200 Space Center Drive
Lee's Summit, Missouri 64064-1182

Lenexa Federal Records Center

Serving Federal agencies in Iowa, Kansas, Missouri, and Nebraska plus the Ogden IRS.

Contact Information

Main Telephone: 913 563-7600

Address

17501 W. 98th, Suites 3150 & 4748
Lenexa, KS 66219

Philadelphia Federal Records Center

Pennsylvania, New Jersey, New York, Delaware, Maryland, Virginia and West Virginia.

Contact Information

Main Telephone: 215 305-2000

Address

14700 Townsend Road
Philadelphia, PA 19154-1096

Riverside Federal Records Center

Serving Federal agencies in Arizona, Southern California, and Southern Nevada.

Contact Information

Main Telephone: 951 956-2000

Address

1000 Commodore Drive
San Bruno, CA 94066-2350

Seattle Federal Records Center

Serving Federal agencies in Alaska, Idaho, Oregon, Washington, Hawaii (all agencies except Courts and Justice) and the Pacific Ocean area.

Contact Information

Main Telephone: 206 336-5115

Address

6125 Sand Point Way, NE
Seattle, Washington, 98115-7999

Washington National Records Center (WNRC) at Suitland, Maryland

Serving Federal agencies in District of Columbia, Maryland, Virginia, West Virginia (except U.S. Court records)

Contact Information

Main Telephone: 301 778-1650

Address

4205 Suitland Road,
Suitland, MD 20746-8001

RECORDS TRANSMITTAL RECEIPT

**INSTRUCTIONS FOR PREPARATING SF-135,
RECORDS TRANSMITTAL RECEIPT**

Block 1. Enter the complete address for the Federal Records Center (FRC) serving your area.

Block 2. Type the title "Records Officer," and he/she will authorize, sign, and date.

Block 3. Agency Contact. Type the name office, and telephone number of the person in the office transferring the records.

Block 4. Record Center Receipt. Leave Blank. This block will be completed by the FRC.

Block 5. "FROM" Enter the Name and complete mailing address as follows:

United States Department of Agriculture
Animal and Plant Health Inspection Service
6505 Belcrest Road
Hyattsville, MD 20782

Block 6. Records Data. This block contains all the information necessary while they are in FRC storage.

Block 6(a)-(c). For Washington Offices, the Records Officer will provide the Accession Numbers instead of the FRC. For regional offices, the Accession Number is assigned by the FRC in the region you ship your records. It is preceded by the Record Group Number "463" which identifies APHIS, and the fiscal year.

Block 6 (d). Enter the volume in cubic feet of each series of records transferred. The standard packing box contains one cubic foot of records.

Block 6 (e). Enter the inclusive box numbers for each series of records being transferred.

Block 6 (f). Enter the file title as listed in the Handbook. This title should be identical to the description of the records listed in the Records Disposal Schedule. Inclusive dates, record series, title, and a clear description of each record series contained in each shipping carton should be shown. Double space between descriptions of records contained in each carton to facilitate the identification of the contents. It is important that the contents of each box be clearly identified to enable the FRC to give reference service and to apply the correct disposition authority.

Block 6 (g). Enter the appropriate restriction code as listed on the reverse of the SF-135.

Administrative Management Records

This schedule provides for the disposal of certain records common to most offices in Federal agencies. It covers administrative subject files, facilitative records such as suspense files, tracking and control records, indexes; and transitory documents.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-----------------------|
| ADMI - 1 | Administrative Services | | |
| | a. Office Administrative Files - Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications, including facsimile machine logs; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office. This includes general material relating to Administrative Management too broad to be filed under of the more specific subjects. | <u>Temporary</u> : Destroy when 2 years old. | GRS 23, Item 1 |
| | Routine Administrative Policy Files | | |
| ADMI - 2 | Policy and Guidelines – files relating to administrative records such as procurement, property, property, budget, payroll, accounting, travel and transportation, personnel, communication activities, records management, space, information, and automated data not covered by the General Records Schedule or elsewhere in this handbook. EXCEPT: Published instructions or directives which are filed in binders according to established Agency customs. | <u>Temporary</u> : Destroy when no longer needed for administrative purposes. | N1-545-07-1, Item 1 |
| ADMI - 3 | Reports and Statistics | | |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-----------------------|
| | c. Reports and Statistics – Reports covering all subjects included under this primary subject: Case file by type or report as necessary. Record of copy substantive reports, such as annual summaries and comprehensive non-recurring reports. Case files special or one-time reports as needed. | Permanent: Retire to FRC when 10 years old. Transfer to NARA when 20 years. | N1-545-07-1, Item 2 |
| | d. Activity Report – Summaries of specific action or work performed by GIPSA personnel. | Temporary: Destroy when 2 years old. | N1-545-07-1, Item 3 |
| | e. All other Reports. | Temporary: Destroy when 2 years old. | N1-545-07-1, Item 4 |
| ADMI - 4 | Transitory Files - Records of short-term interest (180 days or less), including in electronic form (e.g., e-mail messages), which have minimal or no documentary or evidential value. | Temporary: Destroy immediately, or when no longer needed for reference | GRS 23, Item 7 |
| ADMI - 6 | Finding Aids and Indexes - Indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction by the GRS or a NARA-approved SF 115, EXCLUDING records containing abstracts or other information that can be used as an information source apart from the related records. | Temporary: Destroy with the related records. | GRS 23, Item 9 |
| ADMI - 7 | Suspense Files - Documents arranged in chronological order as a reminder that an action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date. | Temporary: Destroy after action is taken. | GRS 23, Item 6 (a) |
| ADMI - 10 | Organizations and Functions. | | |
| | (1) History of Organization – includes opening or discontinuance of offices and reorganizations. Also includes organization functions statements EXCLUDING budgeting for new units | PERMANENT: Retire to FRC when 10 years old. Transfer to NARA when 20 years old. | N1-545-07-1, Item 5 |
| | (2) Planning – Records include material relating to agency-wide organizational goals and objectives | Temporary: Destroy when 3 years old. | N1-545-07-1, Item 6 |
| | (3) Charts – Includes proposed and | PERMANENT: Retire to FRC when | N1-545-07-1, Item 7 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-----------------------|
| | adopted organizational charts prepared by organizational staff. | 10 years old. Transfer to NARA when 15 years old. | |
| | (4) Delegations of Authority – includes order-of-succession and functional or signing delegations Division level or higher. | <u>Temporary:</u> Cut off at end of calendar. Destroy 5 years after cut off. | N1-545-07, 1, Item 8 |
| | (5) Order-of-succession – includes order-of-functional or signing delegations to offices below the Division level. | <u>Temporary:</u> Destroy when 3 years old after delegation cancelled. | N1-545-07, 1, Item 9 |
| | (6) Temporary Delegations – Designations for one to act for another on temporary basis, such as during leave and illness. | <u>Temporary:</u> Destroy when 3 years old. | N1-545-07, 1, Item 10 |
| ADMI - 11 | Projects. | | |
| | (7) General administrative - records relating to a specific GIPSA project. | <u>Temporary:</u> Destroy when 3 years old. | N1-545-07, 1, Item 11 |
| | (8) Background Material | <u>Temporary:</u> Destroy when superseded or obsolete. | N1-545-07, 1, Item 12 |
| | (9) Case Files – records and related correspondence on approved projects having procedural significance. Includes basic documentation and final report or other substantive material. | <u>PERMANENT:</u> Retire to FRC when 5 years old after completion of project. Transfer to NARA when 15 years old. | N1-545-07-1, Item 13 |
| | (10) All other projects. | <u>Temporary:</u> Destroy when 5 years old after completion of project. | N1-545-07, 1, Item 14 |
| | (11) Proposed Projects. | <u>Temporary:</u> Destroy when 5 years old, if no further action is taken. | N1-545-07, 1, Item 15 |
| | (12) Work papers and draft report of projects. | <u>Temporary:</u> Destroy 3 years old after completion of project. | N1-545-07, 1, Item 16 |
| ADMI – 12 | Communications | | |
| | (13) Directories – Correspondence and other material on updating office directories and listings, Agency directories, organizations, and/or firms and similar matters. | <u>Temporary:</u> Destroy when change has been made and verified. | N1-545-07, 1, Item 17 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-----------------------|
| | (14) Directories – Maintain directories used in day-to-day operations on desk top or in bookcase. | <u>Temporary</u> : Destroy when superseded or obsolete. | N1-545-07, 1, Item 18 |
| | (15) Other – All other material. | <u>Temporary</u> : Destroy when 3 years old. | N1-545-07, 1, Item 19 |

Alternative Dispute Resolution Records

Alternative Dispute Resolution (ADR) is any procedure, conducted by a neutral third party, that is used to resolve issues in controversy, including, but not limited to, conciliation, facilitation, mediation, fact finding, mini trials, arbitration and use of ombuds. The records covered by this schedule relate to techniques and processes used in an agency's ADR program in resolving disputes with or between its own employees.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-----------------------|
| ADRR - 1 | ADR - General Correspondence - Correspondence and Reports. General Files: General correspondence and copies of statutes, regulations, meeting minutes, reports, statistical tabulations, evaluations of the ADR program, and other records relating to the agency's overall ADR program. | <u>Temporary</u> : Destroy when 3 years old. Longer retention is authorized if records are needed for agency business. | GRS 1, Item 27(a) |
| ADRR - 2 | ADR - Records Documenting ADR Proceedings - Correspondence, Reports and Proceedings. Case Files: Records documenting ADR proceedings. These files may include an agreement to use ADR, documentation of the settlement or discontinuance of the ADR case, parties' written evaluations of the process and/or the neutral third party mediator, and related correspondence. | <u>Temporary</u> : Destroy 3 years after settlement is implemented or case is discontinued. | GRS 1, Item 27(b) |

Audiovisual

Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-----------------------|
| AUDV - 1 | Still Photography - Correspondence, Reports, Award Ceremonies and Social Events. Photographs of Routine Award Ceremonies, Social Events, and Activities not Related to the Mission of the Agency. | <u>Temporary</u> : Destroy when 1 year old. | GRS 21, Item 1 |
| AUDV - 2 | Personnel Identification or Passport Photographs - Correspondence, Reports and Photos. Personnel Identification or Passport Photographs. | <u>Temporary</u> : Destroy when 5 years old or when superseded or obsolete, whichever is later. | GRS 21, Item 2 |
| AUDV - 3 | Viewgraphs - Correspondence, Reports and Viewgraphs. | <u>Temporary</u> : Destroy 1 year after use. | GRS 21, Item 5 |
| AUDV - 4 | Artwork, Reproduction Material - Correspondence, Reports, Handbills, Artwork and Negatives. Routine Artwork for Handbills, Flyers, Posters, Letterhead, and other Graphics. Line and Halftone Negatives, Screened Paper Prints and Offset Lithographic Plates Used for Photomechanical Reproduction. Line Copies of Graphs and Charts. | <u>Temporary</u> : Destroy when no longer needed for publication or reprinting. | GRS 21, Item 6,7,8 |
| AUDV - 5 | Routine Surveillance Footage/Recordings - Routine Surveillance Footage and Recordings. | <u>Temporary</u> : Destroy when 6 months old. | GRS 21, Items 11, 18 |
| AUDV - 6 | Routine Scientific, Medical, or Engineering Footage - Routine Scientific, Medical, or Engineering Footage and Recordings. | <u>Temporary</u> : Destroy when 2 years old. | GRS 21, Items 12, 19 |
| AUDV - 7 | Rehearsal and Practice Footage - Rehearsal or Practice Tapes. | <u>Temporary</u> : Destroy immediately. | GRS 21, Item 16 |
| AUDV - 8 | Meetings and Awards Footage - Correspondence, Reports and Footage. Recordings that Document Routine Meetings and Award Presentations. | <u>Temporary</u> : Destroy when 2 years old. | GRS 21, Items 20 |

| | | | |
|-----------|---|---|---------------------|
| AUDV - 9 | Meeting Recordings Used for Transcription EXCLUDING Presidential and Executive Commissions - Recordings of Meetings Made Exclusively for Note Taking or Transcription, Dictation Belts or Tapes EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions. | <u>Temporary</u> : Destroy immediately after use. | GRS 21, Item 22, 23 |
| AUDV - 10 | Sound Working Files - Correspondence, Reports and Working Files. Premix Sound Elements Created During the Course of a Motion Picture, Television, or Radio Production. | <u>Temporary</u> : Destroy immediately after use. | GRS 21, Item 24 |
| AUDV - 11 | News Recordings - Correspondence, Reports, News Recordings. Daily or Spot News Recordings Available to Local Radio Stations on a Call in Basis. | <u>Temporary</u> : Destroy when 6 months old. | GRS 21, Item 26 |
| AUDV - 12 | Production Working Files - Production Files or Similar Files that Document Origin, Development, Acquisition, Use, and Ownership of Temporary Audiovisual Records. Finding Aids for Identification, Retrieval, or Use of Temporary Audiovisual Records. | <u>Temporary</u> : Dispose of according to the instructions covering the related audiovisual records. | GRS 21, Item 28, 29 |

Chief Information Officer Records

This schedule provides disposal authorization for certain records created and maintained by Federal Chief Information Officers (CIO) and their program offices. This schedule does not cover all records to the work of CIOs. Records not described in this or any other GRS must be scheduled by submission to NARA of an SF 115, Request for Records Disposition Authority.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-----------------------|
| CIOR - 1 | IT Program Planning Records - Records relating to the development of agency IT programs. Included are records that document agency-wide IT goals; specify milestones to be achieved; identify performance measures for the agency's IT portfolio; or summarize the underlying principles and approach by which the agency will plan for and manage its IT resources. Records may include strategic and tactical plans documenting the implementation and maintenance of IT systems in support of the agency mission and also may include records supporting formally issued plans, such as records of concurrence, comments, | <u>Temporary</u> : Cut off annually. Destroy when 7 years old or when no longer needed, whichever is later. | GRS 27, Item 1 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-----------------------|
| | clearances, justifications, and other issuance records. | | |
| CIOR - 2 | Enterprise Architecture Records - Records identifying the IT systems and networks required to perform the agency's mission and the transitional processes required to implement comprehensive programs to support that mission. Records may include technical reference models, diagrams, graphics, models, and narratives that describe the agency's baseline architecture, target architecture, and related sequencing plans. | <u>Temporary</u> : Cut off when superseded by a new iteration of the enterprise architecture. Destroy when 7 years old or when no longer needed, whichever is later. | GRS 27, Item 2 |
| CIOR - 3 | Capital Investment Records - Records documenting the integration of IT investments with agency-wide strategic planning, budgeting, procurement, and management. Records include routine and periodic reports on IT capital investments; capital asset plans; business cases for major investments, systems, acquisitions, or operational assets identified in the agency's capital investment portfolio; and clearance and review records. | <u>Temporary</u> : Cut off annually. Destroy when 7 years old or when no longer needed, whichever is later. | GRS 27, Item 3 |
| CIOR - 4 | Legal and Regulatory Compliance Records - Records documenting agency compliance with Federal IRM laws and regulations, including systems and reports created to support compliance with the mandates of OMB, GAO, and other Federal IRM and IT oversight agencies. | <u>Temporary</u> : Cut off annually. Destroy when 5 years old. | GRS 27, Item 4 |
| CIOR - 5 | CIO Committee Records - Records maintained by committees, boards, task forces, conferences, or other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts, reports, studies, and publications; membership records, correspondence, mailing, and distribution records; and other administrative committee records. | <u>Temporary</u> : Cut off annually. Destroy when 5 years old. | GRS 27, Item 5 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-----------------------|
| CIOR - 6 | CIO Subject and Office Records - Records not otherwise identified in this GRS that include briefings, reports, presentations, studies, correspondence, and other documents created to support IT program objectives; responses to and decisions on matters affecting the IT program; or operational and managerial guidance to all organizational segments of the agency. | <u>Temporary</u> : Cut off annually. Destroy when 5 years old. | GRS 27, Item 6 |
| CIOR - 7 | Schedules of Daily Activities – Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the CIO while serving an official capacity, Excluding materials determined to be personal and those that have been incorporated into other recordkeeping systems. | <u>Temporary</u> : Cut off annually. Destroy when 2 years old but not more than 5 years old. | GRS 27, Item 7 |

Commissions, Boards, Councils, Committees, Task Force and Meeting Records

Records created and maintained by temporary commissions, boards, councils and committees (including continuing entities governed by renewable charters such as agency advisory committees). In the case of interagency bodies, this schedule covers the records maintained by the designated secretariat as well as records accumulated by other commission members. For convenience, the term "commission" is used in this schedule to cover all types of temporary organizations.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-----------------------|
| CBCC - 1 | Internal Agency Committee - Committees established by an agency for facilitative or operational purposes unrelated to the agency's mission, composed wholly of full-time officers or employees of the Federal government, and not subject to the Federal Advisory Committee Act, e.g. committees tasked with organizing events, selecting of interior furnishings, overseeing volunteer activities or employee recreational activities. Any files created and/or maintained by the committee. | <u>Temporary</u> : Destroy when no longer needed for administrative purposes. | GRS 26, Item 1(a) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-----------------------|
| CBCC - 2 | Federal Advisory Committee Act (FACA) | | |
| | a. Files documenting the Commission's establishment, membership, policy, organization, deliberations, findings, and recommendations- Charters, organization charts, functional statements, directives, agendas, briefing books, minutes, testimony, and transcripts of meetings and hearings correspondence, research studies and other projects. | <u>PERMANENT.</u> Transfer to the National Archives on termination of the Commission. Earlier transfer is authorized for commissions operating for 3 years or longer. | GRS 26, Item 2(a) |
| | b. Files that relate to day-to-day Commission activities and/or do not contain unique information of historical value - Correspondence, reference and working files of Commission staff, meetings and hearings, requests for information, consultant personnel files, records relating to logistical aspects of Commission meetings and hearings, etc. | <u>Temporary:</u> Destroy on termination of Commission. | GRS 26, Item 2(b) |
| | c. Web site records - Electronic version of web site(s), Design, management, and technical operation records, Electronic version of content records duplicated in textual series of commission records. | <u>Temporary:</u> Destroy on termination of commission | GRS 26, Item 2(c) |
| CBCC - 3 | Committee Records Not Maintained by Sponsor or Secretariat - Copies of committee records, such as agendas, meeting minutes, final reports and related records created by or documenting the accomplishments of official boards and commissions, excluding those kept by the sponsor or Secretariat. | <u>Temporary:</u> Destroy when 3 years old. | GRS 26, Item 3 |
| CBCC - 4 | FACA Operational - Records maintained by agency Committee Management Officers for committees established under the Federal Advisory Committee Act (FACA) as amended (5U.S.C. Appendix 2). Committee Management activities include the establishment, appointment of members, and operation and termination of chartered Federal advisory committees. | <u>Temporary:</u> Destroy when 6 years old. | GRS 26, Item 4 |
| CBCC - 5 | CIO Committee Records - Records maintained by committees, boards, task forces, conferences, or | <u>Temporary:</u> Destroy when 5 | GRS 27, Item 5 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|-------------|-----------------------|
| | other IT advisory, governing, or policy bodies for which the CIO has designated sponsorship, leadership, or recordkeeping responsibilities. Records include meeting minutes, summaries, agendas, and transcripts; reports, studies, and publications; membership records; correspondence, mailing, and distribution records; and other administrative committee records. | years old. | |

Contracting, Procurement, Supply Records

This schedule relates to agency procurement and supply records documenting the acquisition of goods and on-personal services, controlling the volume of stock on hand, reporting procurement needs, and related matters which are part of daily procurement operations.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|---|
| CONT - 1 | Real Property Files - Acquired after December 31, 1920 - Correspondence, Reports, Purchase Documents, Specifications, Bids, Schedule of Delivery, Title Papers, Abstract and Certificate of Title. | <u>Temporary</u> : Dispose 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens. | GRS 3, Item 1(a), 1(b) |
| CONT - 2 | Routine Procurement More Than \$2,000 - Correspondence, Reports and Forms. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection and payment (other than those covered in items 1 and 12). a. Purchase Orders - More than \$2,000 b. Blanket Purchase Orders - More than \$2,000 c. Contracts - More than \$2,000 | <u>Temporary</u> : Destroy 6 years and 3 months after final payment. | GRS 3, Items 3(a)(1)(a), 3(a)(2)(a), 3(b), 3(c), 5(b)(2)(a), 5(b)(2)(b) |
| CONT - 3 | Routine Procurement Under \$2,000 - | <u>Temporary</u> : | GRS 3, |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|---|
| | Correspondence, Reports and Forms. | Destroy 3 years after final payment. | Items 3(a)(1)(b), 3(a)(2)(b), 3(b), 3(c), 5(a), 5(b)(1) |
| | a. Requisitions | | |
| | b. Purchase Order - Less than \$2,000 | | |
| | c. Blanket Purchase Order - Less than \$2,000 | | |
| CONT - 4 | Federal Procurement Data System - Correspondence, Reports. | <u>Temporary</u> : Destroy or delete when 5 years old. | GRS 3, Item 3(d) |
| CONT - 5 | Supply Management - Correspondence, Reports, Forms. Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature. | <u>Temporary</u> : Destroy when 2 years old. | GRS 3, Item 4(a), 4(b) |
| CONT - 6 | Canceled Solicitation - Opened Bids - Correspondence and Reports. | <u>Temporary</u> : Destroy 5 years after date of cancellation. | GRS 3, Item 5(c)(1) |
| CONT - 7 | Canceled Solicitation - Unopened Bids - Correspondence and Reports. | Return to bidder. | GRS 3, Item 5(c)(1) |
| CONT - 8 | Acceptable Bidders List - Correspondence, Reports and Lists. | <u>Temporary</u> : Destroy when superseded or obsolete. | GRS 3, Item 5(d) |
| CONT - 9 | Public Printer Files - Correspondence, Reports and Forms relating to requisitions on the Printer, and all supporting papers. | <u>Temporary</u> : Destroy 3 years after completion or cancellation or requisition. | GRS 3, Item 6(a), 6(b) |
| CONT-10 | Nonpersonal Requisition File - Correspondence, Reports and Forms for requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services. | <u>Temporary</u> : Destroy when 1 year old. | GRS 3, Item 7 |
| CONT-11 | Inventory Requisition File - Correspondence, Reports and Forms. | <u>Temporary</u> : Destroy 2 years after discontinuance of item, 2 years after | GRS 3, Item 8(a), 9(s), 9(b), 9(c) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-----------------------|
| | | stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control. | |
| CONT - 12 | Telephone Records - Correspondence, Reports and Statements. | <u>Temporary</u> : Destroy 3 years after period covered by related account. | GRS 3, Item 10 |
| CONT - 13 | Contractors' Payroll Files - Correspondence, Reports and Forms. | <u>Temporary</u> : Destroy 3 years after date of completion of contract unless performance is subject of enforcement action on such date. | GRS 3, Item 11 |
| CONT - 14 | Tax Exemption Files - Correspondence, Reports and Forms. | <u>Temporary</u> : Destroy 3 years after period covered by related account. | GRS 3, Item 12 |
| CONT - 15 | Contract Appeals - Prior to Oct. 1, 1979 - Correspondence, Reports and Forms. | <u>Temporary</u> : Destroy 6 years, 3 months after final action on decision. | GRS 3, Item 15(a) |
| CONT - 16 | Contract Appeals - After Sept. 30, 1979 - Correspondence, Reports and Forms. | <u>Temporary</u> : Destroy 1 year after final action on decision. | GRS 3, Item 15(b) |
| CONT - 17 | Contractor's Statement of Contingent or Other Fee - Correspondence and Reports. SF 119, Statement | <u>Temporary</u> : Destroy when | GRS 3, Item 16 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-----------------------|
| | of Contingent or Other Fees, or statement in lieu of the form, filed separately from the contract case file and maintained for enforcement or report purposes. | superseded or obsolete. | |
| CONT - 18 | Small and Disadvantaged Business Utilization - Correspondence, Reports and Statements Studies, Goal Statements, and other records relating to the small and disadvantaged business utilization program, as required by Pub. L. 95 507. | <u>Temporary</u> : Destroy when 3 years old. | GRS 3, Item 17 |

Departmental Initiatives and International Affairs

This schedule covers GIPSA's participation in initiatives or collaborations only.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-------------------------|
| DI IA- 1 | Agency Representation | | |
| | a. Departmental Initiatives – Records pertaining to GIPSA's representation at meetings, task forces, and intergovernmental engagements involving Departmental Initiatives, including briefing papers, memoranda, meeting summaries and notes, presentation, action plans, action matrices, email correspondence, and implementation progress reports | <u>Temporary</u> : Cut off at the end of the fiscal year in which records are created. Destroy 3 years after cut off. | N1-545-08-12, item 1(a) |
| | b. USDA Collaboration – Records pertaining to activities involving GIPSA's liaison with USDA's Foreign Agricultural Service (FAS), other pertinent USDA agencies, U.S. Government, USDA Cooperator organizations and others to coordinate issues involving international grain trade, such as presentations, memoranda, letters, trip reports, meeting notes, and email correspondence. | <u>Temporary</u> : Cut off at the end of the fiscal year in which records are created. Destroy 3 years after cut off. | N1-545-08-12, item 1(b) |
| | c. Interagency Collaboration – Records pertaining to GIPSA's representation on | <u>Temporary</u> : Cut off at the end of | N1-545-08-12, item |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-------------------------|
| | interagency committees and task forces concerned with international grain trade policies and national policy issues relating (World Trade Organization, the North American Free Trade Agreement, agricultural biotechnology, and sanitary and phytosanitary issues, such as briefing memoranda, reports, meeting notes, letterhead statements, letters, memoranda, e-mail correspondence, and presentations. | the fiscal year in which records are created. Destroy 3 years after cut off. | 1(c) |
| DIIA - 2 | Quality and Weight Complaints – Records dealing with investigations of discrepancies reported by importing countries on the quality or weight of U.S. grains, oilseeds, and related products certified by GIPSA at the time of export, such as reports of findings, e-mail correspondence, and memoranda. | <u>Temporary</u> : Cut off at the end of the fiscal year in which case is closed. Destroy 3 years after cut off. | N1-545-08-12, item 2 |
| DIIA - 3 | Contributions to Studies and Surveys – Records pertaining to collaborative studies, sample exchange, domestic surveys, and monitoring activities with importers to address persistent or recurring discrepancies and monitoring the quality of U.S. grain exports (Export Cargo Sampling Program and Wheat Protein Collaborative, including spreadsheets of factor results, letters, email correspondence, and memoranda. | <u>Temporary</u> : Cut off at the end of the fiscal year in which Agency's involvement in the study or survey is complete. Destroy 3 years after cut off. | N1-545-08-12, item 3 |
| DIIA - 4 | International Outreach | | |
| | a. CDO Program – Records pertaining to GIPSA's collateral duty officer (CDO) program activities and GIPSA stations an officer oversees for 1-4 months at a time. Documents include presentation, trip reports, letters, memoranda, weekly CDO logs, email correspondence, and communications, plans and activities while on assignment. | <u>Temporary</u> : Cut off at the end of the fiscal year in which records are created. Destroy 3 years after cut off. | N1-545-08-12, item 4(a) |
| | b. International Education Programs – Records pertaining to educational programs for public and private sector audiences. | <u>Temporary</u> : Cut off at the end of the fiscal year in which records are | N1-545-08-12, item 4(b) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-------------------------|
| | | created. Destroy 3 years after cut off. | |
| | c. USDA Laboratory Program – Records pertaining to GIPSA's cooperation with USDA's Foreign Agricultural Service (FAS) and USDA cooperator organizations to establish overseas grain inspection laboratories, conducting international training programs. | <u>Temporary</u> : Cut off at the end of the fiscal year in which records are created. Destroy 3 years after cut off. | N1-545-08-12, item 4(c) |

Directives/Administrative Issuances/Policy/Regulations Records

This schedule provides for the disposal of certain records relating to administrative management activities in federal agencies, excluding records of operating personnel, budget, accounting, and printing functions, which are covered by other General Records Schedules or agency approved schedules.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-------------------------|
| DIRC - 1 | Administrative Issuances - Notices and other types of issuances related to routine administrative functions (e.g. payroll, procurement, personnel). Case files that document aspects of the development of the issuance. | <u>Temporary</u> : Destroy when superseded or obsolete. | GRS 16, Item 1(a), 1(b) |

Emergency and Disaster Planning/COOP

This schedule relates to security and protective services records included in various files created by agencies in developing and implementing plans for the life and property under emergency conditions.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-----------------------|
| EMER - 1 | Emergency planning Correspondence - Correspondence and Reports. Correspondence files relating to administration and operation of the emergency planning program, not covered elsewhere in this schedule. | <u>Temporary</u> : Destroy when 2 years old. | GRS 18, Item 26 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-----------------------|
| EMER - 2 | Emergency Planning and Operations Case Files - Case files accumulated by offices responsible for the preparation and issuance of plans and directives, consisting of a copy of each plan or directive issued, with related background documents, EXCLUDING one record copy of each plan or directive issued, if not included in the agency's permanent set of master directives files. Files accumulating from tests conducted under agency emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and reports EXCLUDING consolidated and comprehensive reports. | <u>Temporary</u> : Destroy 3 years after issuance of a new plan or directive. | GRS 18, Items 27, 28 |
| EMER - 9 | Evacuation Plans – Plans developed based on guidance from the Department and posted at various workplace locations. | <u>Temporary</u> : Cut off at the end of the fiscal year in which plan is superseded or obsolete. Destroy immediately after cut off. | N1-545-08-7, Item 4 |

Employee Assistance Program Management

This schedule relates to general material relating to GIPSA safety and health management program (Employee Assistance Program).

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-----------------------|
| EAPM - 1 | Employee Assistance Program – Agreements with external organizations to provide counseling and assistance to employees experiencing difficulty. Also includes copies of bills. | <u>Temporary</u> : Cut off at the end of the fiscal year in which agreement is inactive. Delete or destroy 2 years after cut off. | N1-545-08-7, Item 3 |

Equal Employment Opportunity Records

This schedule relates to records of all phases and regulations of Equal Employment Opportunity (EEO), including special emphasis programs.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|----------------------------------|
| EEOC - 1 | EEOC Complaint Case File – Correspondence (Policy and Guidelines), Reports and Case Files Originating agency's file containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described in 29 CFR 1613.222. Cases resolved within the agency, by Equal Employment Opportunity Commission, or by a U.S. Court. | <u>Temporary</u> : Destroy 4 years after resolution of case. | GRS 1, Item 25(a); 25(b) |
| EEOC - 2 | EEOC Preliminary and Background - Correspondence, Reports and Case Files. Background records not filed in the Official Discrimination Complaint Case Files. | <u>Temporary</u> : Destroy 2 years after final resolution of case. | GRS 1, Item 25 (c)(1); 25 (c)(2) |
| EEOC - 3 | EEOC - Compliance Review - Correspondence and Reports. | <u>Temporary</u> : Destroy when 7 years old. | GRS 1, Item 25(d)(1) |
| EEOC - 4 | EEOC - Compliance Reports - Correspondence and Reports. | <u>Temporary</u> : Destroy when 3 years old. | GRS 1, Item 25(d)(2) |
| EEOC - 5 | EEOC - Housing Requests - Correspondence and Reports. | <u>Temporary</u> : Destroy when 1 year old. | GRS 1, Item 25(e) |
| EEOC - 6 | EEOC - Employment Statistics - Correspondence and Reports. Employment statistics relating to race and sex. | <u>Temporary</u> : Destroy when 5 years old. | GRS 1, Item 25(f) |
| EEOC - 7 | EEOC - General Files – General Correspondence and Reports. | <u>Temporary</u> : Destroy when 3 years old, or when superseded or obsolete, whichever is applicable. | GRS 1, Item 25(g) |
| EEOC - 8 | EEOC - Affirmative Action Plans - Correspondence, Reports and Plans. Agency copy of consolidated AAP(s). Report of on-site reviews of Affirmative Action Programs. Agency copy of annual report of | <u>Temporary</u> : Destroy 5 years from date of plan. | GRS 1, Item 25(h)(1); 25(h)(3); |

| | | | |
|-----------|---|--|-------------------------|
| | Affirmative Action accomplishments. | | 25(h)(4) |
| EEOC - 9 | EEOC - Affirmative Action Feeder Plans - Correspondence, Reports and Feeder Plans. | <u>Temporary:</u> Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner. | GRS 1, Item 25(h)(2) |
| EEOC - 10 | EEOC - Personnel Counseling - Correspondence, Reports and Counseling. Alcohol and Drug Abuse Program. | <u>Temporary:</u> Destroy 3 years after termination of counseling. | GRS 1, Item 26(a);26(b) |
| EEOC -14 | Special Emphasis Programs – Records related to GIPSA efforts to develop programs to address groups with significant under-representation in the Federal workforces. Files include documents addressing these programs plus files on various special observances mandated throughout the year such as: Federal Women's Program, Hispanic Employment, Native American Program; Career Enhancement Program, Cooperative Education Program; Cooperative Education program, Federal Equal Opportunity Recruitment Program, Title 4 (Non-Discrimination) Program, Summer Program, and Other Special Programs (includes employment of physically handicapped, mentally challenged). | <u>Temporary:</u> Cut off at the end of the calendar year in which the program is completed. Destroy 5 years after cutoff. | N1-545-08-20, Item 3 |

Ethics Records

This schedule relates to records documenting the activities of agency ethics program offices and provides disposition for financial disclosure reports; ethics agreements; outside employment and activity records; referrals of violations of criminal conflict of interest statutes; ethics determination, advice, consultation, and training records; and other commonly held ethics program records.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-------------------------|
| ETHI - 1 | Ethics Program Development and Implementation Files - Correspondence and Reports. | <u>Temporary:</u> Destroy when 6 years or when superseded or | GRS 25, Item 1(a), 1(b) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-------------------------------|
| | | obsolete, whichever is later. | |
| ETHI - 2 | Ethics Program Interpretation - Correspondence and Reports. | <u>Temporary</u> : Destroy when 6 years or when superseded or obsolete, whichever is later. | GRS 25, Item 1(a), 1(b) |
| ETHI - 3 | Ethics Program Counseling - Correspondence, Reports, Case Files. | <u>Temporary</u> : Destroy when 6 years or when superseded or obsolete, whichever is later. | GRS 25, Item 1(a), 1(b) |
| ETHI - 4 | Financial Disclosure Reporting Files - Public - SF 278 Hired - Correspondence, Reports, and SF 278. All other alternative or additional financial disclosure reports. | <u>Temporary</u> : Destroy when 6 years old; EXCEPT documents needed in an ongoing investigation will be retained until no longer needed in the investigation. | GRS 25, Item 2(a)(2), 2(c)(2) |
| ETHI - 5 | Financial Disclosure Reporting Files - Public - SF 278 Not Hired - Correspondence, Reports and SF 278. | <u>Temporary</u> : Destroy 1 year after nominee or candidate ceases to be under consideration for position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. | GRS 25, Item 2(a)(1), 2(c)(1) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|------------------|--|---|------------------------------|
| ETHI - 6 | Financial Disclosure Reporting Files - Confidential - OGE 450 Hired - Correspondence, Reports, OGE 450, OGE Optional Form 450-As. | <u>Temporary</u> : Destroy when 6 years old; EXCEPT documents needed in an ongoing investigation will be retained until no longer needed in the investigation. | GRS 25, Item 2(b)(2) |
| ETHI - 7 | Financial Disclosure Reporting Files - Confidential - OGE 450 Not Hired - Correspondence, Reports and OGE 450 | <u>Temporary</u> : Destroy 1 year after nominee or candidate ceases to be under consideration for position; EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation. | GRS 25, Index 2(b)(1) |
| ETHI - 8 | Ethics Conflict of Interest Agreement Files - Correspondence, Reports, Agreements and Waivers. | <u>Temporary</u> : Destroy 6 years after waiver or other agreed-upon determination or action has been issued or undertaken or is no longer in effect, whichever is later. | GRS 25, Item 3 |
| ETHI - 9 | Ethics Violation Files - Correspondence, Reports, Working Files. | <u>Temporary</u> : Destroy when 6 | GRS 25, Item 4 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-------------------------|
| | | years old. | |
| ETHI - 10 | Ethics Non-Federally Funded Travel - Correspondence, Reports and Working Files. | <u>Temporary</u> : Destroy when 3 years old. | GRS 25, Item 5(a), 5(b) |
| ETHI - 11 | Ethics Program Review - Correspondence, Reports and Working Files. | <u>Temporary</u> : Destroy when 6 years old. | GRS 25 Item 6(a), 6(b) |
| ETHI - 12 | Agency Annual Ethics Questionnaire - Correspondence, Reports and Questionnaire. | <u>Temporary</u> : Destroy 3 years after submission. | GRS 25, Item 7(a), 7(b) |
| ETHI - 13 | Ethics Program Procedures - Correspondence, Reports and Procedures. | <u>Temporary</u> : Destroy when 6 years old or when superseded or obsolete, whichever is later. | GRS 25, Item 9 |
| ETHI - 14 | Ethics Employee Training - Correspondence, Reports, Annual Plans, Class Schedules, Rosters and Orientations. | <u>Temporary</u> : Destroy when 6 years old. | GRS 25, Item 8(a) |
| ETHI - 15 | Ethics Employee Training Material - Correspondence, Reports, Training Materials and Communications. | <u>Temporary</u> : Destroy when 6 years old or when superseded or obsolete, whichever is later. | GRS 25, 8(b) |

Facilities and Space Records

This schedule relates to records documenting functions pertaining to the acquisition, allocation, utilization, and release of space and include related correspondence and reports submitted to General Services Administration (GSA) (or equivalent agency with similar Government-wide responsibilities) as directed by law and regulation (41 CFR 101-17). Also, records relating to architectural and engineering reports and drawings.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-----------------------|
| FACI - 1 | Space and Maintenance General Correspondence - Correspondence, Reports, Administrative and Operations. Correspondence files of the unit responsible for space and maintenance matters, pertaining to its own administration and operation, and related papers. | <u>Temporary</u> : Destroy when 2 years old. | GRS 11, Item 1 |

| | | | |
|----------|--|--|-------------------------------------|
| FACI - 2 | Agency Space Files - Correspondence, Reports and Forms. Building plan files, surveys, and other records utilized in agency space planning, assignment, and adjustment. Agency reports to the GSA, including Standard Form (SF) 81, Request for Space, and related documents. Copies in subordinate reporting units and related work papers. | <u>Temporary:</u> Destroy 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or obsolete. | GRS 11, Item 2(a), 2(b)(1), 2(b)(2) |
| FACI - 3 | Directory Service Files - Correspondence, Reports, Forms and Lists. Correspondence, forms, and other records relating to the compilation of directory service listings. | <u>Temporary:</u> Destroy 3 months after issuance of listing. | GRS 11, Item 3 |
| FACI - 4 | Credentials Files - Correspondence, Reports, Index, Badges and Lists | <u>Temporary:</u> Destroy credentials 3 months after return to issuing office. | GRS 11, Item 4(a), 4(b) |
| FACI - 5 | Building and Equipment - Correspondence, Reports and Requests. Requests for building and equipment maintenance services, excluding fiscal copies. | <u>Temporary:</u> Destroy 3 months after work is performed or requisition is canceled. | GRS 11, Item 5 |
| FACI - 6 | Map Drafts - Correspondence, Reports, Map Working Files. | <u>Temporary:</u> Destroy when no longer needed for revision. | GRS 17, Item 1 |
| FACI - 7 | Architectural Drawings of Temporary Buildings Not Critical to Mission Agency - Correspondence, Reports and Drawings. | <u>Temporary:</u> Destroy when superseded or after the structure or object has been retired from service. | GRS 17, Item 3 |
| FACI - 8 | Drawings of Electrical, Plumbing, Heating or Air Conditioning Systems - Correspondence, Reports, Requests and Authorizations. | <u>Temporary:</u> Destroy when superseded or after the structure or object has been retired from service. | GRS 17, Item 4 |

| | | | |
|-----------|--|--|------------------|
| FACI - 9 | Contact Negotiation Drawings - Correspondence, Reports, Drawing and Working Files. | <u>Temporary:</u> Destroy when the final workings/as built drawings have been produced. | GRS 17, Item 5 |
| FACI - 10 | Space Assignment Plans - Correspondence, Reports and plans. | <u>Temporary:</u> Destroy when superseded or after the structure or object has been retired from service. | GRS 17, Item 6 |
| FACI - 11 | Engineering Drawings of Routine Minor Modifications or Parts - Correspondence, Reports, Drawings and Working Files. | <u>Temporary:</u> Destroy when superseded or after the structure or object has been retired from service. | GRS 17, Item 8,9 |
| FACI - 12 | Paint Plans and Samples - Correspondence, Reports, Paint Plans and Samples. | <u>Temporary:</u> Destroy when superseded or after the structure or object has been retired from service. | GRS 17, Item 10 |

Financial Records

This schedule provides for the disposal of certain records relating to administrative management activities. The schedule also applies to certain records of budget preparation and apportionment in all agencies. Expenditure accounting records related documents maintained by all Federal agencies to show in summary fashion how their funds, appropriated and non-appropriated, are spent after allotment by the Office of Management and Budget (OMB), and the sources and nature of any receipts. These records serve not only as central fiscal records, but also as a primary source of data for top management concerned with agency solvency, expenditures, and program costs.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-----------------------------------|
| FINC - 1 | Management Control Accountability - Correspondence, Reports, Working copies, Risk Analyses and Tracking. Policy, procedure, and guidance files. | <u>Temporary:</u> Destroy when superseded. | GRS 16, Item 14(a), 14(b), 14(c), |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|---------------------------------|
| | | | 14(d), 14(e) |
| FINC - 2 | Management Control Review - Correspondence, Reports and Reviews. | <u>Temporary</u> : Destroy when 5 years old. | GRS 16, Item 14(f)(1), 14(f)(2) |
| FINC - 3 | Budget Internal Procedures – Correspondence files in budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule, excluding files relating to agency policy and procedures. Reports and Internal Procedures. | <u>Temporary</u> : Destroy when 2 years old. | GRS 5, Item 1 |
| FINC - 4 | Budget Background - Correspondence, Reports, Budget Estimates, Justifications, Statements and Schedules. | <u>Temporary</u> : Destroy 1 year after the close of the fiscal year covered by the budget. | GRS 5, Item 2 |
| FINC - 5 | Annual Budget Report - Correspondence, Reports, Appropriation and Appointment. | <u>Temporary</u> : Destroy when 5 years old. | GRS 5, Item 3(a) |
| FINC - 6 | Budget Reports - Other - Correspondence and Reports. | <u>Temporary</u> : Destroy 3 years after the end of the fiscal year. | GRS 5, Item 3(b) |
| FINC - 7 | Budget Apportionment - Correspondence, Reports and Schedules. | <u>Temporary</u> : Destroy 2 years after the close of the fiscal year. | GRS 5, Item 4 |
| FINC - 8 | Expenditure Accounting Internal Procedures - Correspondence, Reports and Internal Procedures. | <u>Temporary</u> : Destroy when 2 years old. | GRS 7, Item 1 |
| FINC - 9 | Expenditure Ledgers and Appropriation Allotment - Correspondence, Reports, Ledgers, Obligations and Allotments. | <u>Temporary</u> : Destroy 6 years and 3 months after the fiscal year involved. | GRS 7, Item 2,3 |
| FINC - 10 | Expenditure Annual Budget Report - Correspondence, Reports, Posting and Control. | <u>Temporary</u> : Destroy when 3 years old. | GRS 7, Item 4(a) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-----------------------|
| FINC - 11 | Expenditure Annual Budget Report Copies - Correspondence, Reports, Postings and Control. | <u>Temporary</u> : Destroy when 2 years old. | GRS 7, 4(b) |

Forms Management Records

This schedule provides for the disposal of certain records relating to administrative management activities in Federal agencies, excluding records of operating personnel, budget, accounting and printing functions, which are covered by other schedules. Included within the scope of this schedule are disposable records created in the course of organizational planning, development, and simplification of procedures; records management activities, and administration of management improvement programs.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-------------------------|
| FORM - 1 | Forms - Correspondence, Reports, Forms, Instructions and Working Files. | <u>Temporary</u> : Destroy 5 years after related form is discontinued, superseded or canceled. | GRS 16, Item 3(a), 3(b) |

Freedom of Information Act Records

This schedule provides for files created in response to requests for information under the FOIA, consisting of the original request, a copy of the reply thereto, and all related supporting files.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|---------------------------------------|
| FOIA - 1 | FOIA Requests - Granted -Correspondence and supporting documents (excluding the official file copy of the records requested if filed herein). | <u>Temporary</u> : Destroy 2 years after date of reply. | GRS 14, Item 11(a)(1) |
| FOIA - 2 | FOIA Requests - Nonexistent Records - Correspondence and Reports. Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees. Request not appealed. | <u>Temporary</u> : Destroy 2 years after date of reply. | GRS 14, Item 11(a)(2)(a), 11(a)(2)(b) |
| FOIA - 3 | FOIA Requests - Denied - Correspondence and supporting documents (excluding the official file copy of the records requested if filed herein). Denying access to all or part of the records | <u>Temporary</u> : Destroy 6 years after date of reply. | GRS 14, Item 11(a)(3)(a), 11(a)(3)(b) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|---------------------------|
| | request. | | |
| FOIA - 4 | FOIA Requests/Appeals – Files created in responding to administrative appeals under the FOIA for release of information denied by the agency, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof. | <u>Temporary:</u> Destroy 6 years after final determination by agency, 6 years after the time at which a requester could file suit, or 3 years after final adjudication by the courts, whichever is later. | GRS 14, Item 12(a), 12(b) |
| FOIA - 5 | FOIA Control Files – Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature, and purpose of requests and name and address of requester. Registers or listing and other files. | <u>Temporary:</u> Destroy 5 years after date of last entry. | GRS 14, Item 13(a), 13(b) |
| FOIA - 6 | FOIA Reports and FOIA Administrative Files – Recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, Excluding annual reports to the Congress as the departmental or agency level. Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records. | <u>Temporary:</u> Destroy when 2 years old. | GRS 14, Item 14, 15 |

Human Resources Management Personnel Records

This schedule covers the disposition of civilian employees and other records relating to civilian personnel, wherever located in the agency.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-----------------------|
| HRMS - 5 | Personnel Correspondence - Correspondence and Reports. | <u>Temporary</u> : Destroy when 3 years old. | GRS 1, Item 3 |
| HRMS - 6 | Employment Offers - Accepted - Correspondence, Reports and Offers. | <u>Temporary</u> : Destroy when appointment is effective. | GRS 1, Item 4(a) |
| HRMS - 7 | Employment Offers - Declined from Certificate of Eligibles - Correspondence, Reports and Offers. | Return to OPM with reply and application. | GRS 1, Item 4(b)(1) |
| HRMS - 8 | Employment Offers - Declined - Temporary or Excepted Appointments - Correspondence, Reports and Offers. | File with applications (See GRS 1, Items 33k, 33l, 33m or 33n, as appropriate. | GRS 1, 4(B)(2) |
| HRMS - 9 | Employment Offers - Declined - All Others - Correspondence, Reports and Offers. | Destroy immediately. | GRS 1, Item 4(b)(3) |
| HRMS - 10 | Certificate of Eligible Files - Correspondence, Reports and Cards. | <u>Temporary</u> : Destroy when 2 years old. | GRS 1, Item 5 |
| HRMS - 11 | Employee Record Card - Correspondence, Reports and Cards. | <u>Temporary</u> : Destroy on separation or transfer from employment. | GRS 1, Item 6 |
| HRMS - 12 | Position Classification - Standards - Correspondence, Reports and Position Classification Standards. | <u>Temporary</u> : Destroy when superseded or obsolete. | GRS 1, Item 7(a)(1) |

| | | | |
|-----------|--|---|------------------------|
| HRMS - 13 | Position Classification - Standards Development Case Files - Correspondence, Reports and Position Classification Standards. | <u>Temporary:</u> Destroy 5 years after position is abolished or description is superseded. | GRS 1, Item 7(a)(2)(a) |
| HRMS - 14 | Position Classification Standards - Review File - Correspondence, Reports and Position Classification Standards. | <u>Temporary:</u> Destroy when 2 years old. | GRS 1, Item 7(a)(2)(b) |
| HRMS - 15 | Position Classification - Position Descriptions - Correspondence, Reports and Position Descriptions. | <u>Temporary:</u> Destroy 2 years after position is abolished or description is superseded. | GRS 1, Item 7(b) |
| HRMS - 16 | Position Classification - Survey Reports - Correspondence, Reports and Classification Survey. | <u>Temporary:</u> Destroy when 3 years old or 2 years after regular inspection, whichever is sooner. | GRS 1, Item 7(c)(1) |
| HRMS - 17 | Position Classification - Inspection, Audit and Survey Files - Correspondence, Reports Inspection, Audit and Survey. | <u>Temporary:</u> Destroy when obsolete or superseded. | GRS 1, Item 7(c)(2) |
| HRMS - 18 | Position Classification - Appeals Files - Correspondence and Reports. | <u>Temporary:</u> Destroy 3 years after case is closed. | GRS 1, Item 7(d)(1) |
| HRMS - 19 | Position Classification - Certificate of Classification Issued by OPM - Correspondence and Reports. | <u>Temporary:</u> Destroy after affected position is abolished or superseded. | GRS 1, Item 7(d)(2) |
| HRMS - 20 | Interview Records - Correspondence and Reports. | <u>Temporary:</u> Destroy 6 months after transfer or separation of employee. | GRS 1, Item 8 |

| | | | |
|-----------|--|--|---|
| HRMS - 21 | Performance Rating Board Case Files - Correspondence and Reports. | <u>Temporary:</u> Destroy 1 year after case is closed. | GRS 1, Item 9 |
| HRMS - 22 | Temporary Employment - Individual Employee Records - Correspondence and Reports. | <u>Temporary:</u> Destroy when superseded or obsolete, or upon separation or transfer of employee, unless specifically required to be transferred with OPF item 10b for disposition of I-9 Forms and item 23 of this schedule for disposition of temporary performance-related records. | GRS 1, Item 10(a) |
| HRMS - 23 | Temporary Employment - Individual Immigration and Naturalizing Service Form (I-9) - Correspondence, Reports and Form I-9. | <u>Temporary:</u> Destroy 3 years after employee separation from service or transfers to another agency. | GRS 1, Item 10(b) |
| HRMS - 24 | Position Identification Strips - Correspondence, Reports and Strips. | <u>Temporary:</u> Strips, such as the former SF 7D, containing summary data on each position. | GRS 1, Item 11 |
| HRMS - 25 | Employee Awards - Correspondence, Reports, Case Files and Awards. | <u>Temporary:</u> Destroy 2 years after approval or disapproval. | GRS 1, Item 12(a)(1); 12(a)(2); 12(b); 12(c); 12(d) |

| | | | |
|-----------|---|--|--------------------------------|
| HRMS - 26 | Incentive Awards Program Reports - Correspondence and Reports. | <u>Temporary:</u> Destroy when 3 years old. | GRS 1, Item 13 |
| HRMS - 27 | Notifications of Personnel Actions and Operations Statistical Reports - Correspondence, Reports and SF50. | <u>Temporary:</u> Destroy when 2 years old. | GRS 1, Item 14(a); 14(b); 16 |
| HRMS - 28 | Retention Registers - Correspondence, Reports and Registers. | <u>Temporary:</u> Destroy when 2 years old. | GRS 1, Item 17(b)(1); 17(b)(2) |
| HRMS - 29 | Supervisor's Personnel Files and Duplicate OPF Documentation - Correspondence, Reports, OPF and Case File. | <u>Temporary:</u> Review annually and destroy superseded or obsolete documents, or destroy relating to an employee within 1 year after separation or transfer. | GRS 1, Item 18(a); 18(b) |
| HRMS - 30 | Individual Non-Occupational Health Records - Correspondence and Reports. | <u>Temporary:</u> Destroy 6 years after date of last entry. | GRS 1, Item 19 |
| HRMS - 31 | Health Unit Control Files - Correspondence, Reports, Logs and Registers. | <u>Temporary:</u> Information summarized on statistical reports destroy 3 months after last entry; Information is not summarized destroy 2 years after last entry. | GRS 1, Item 20(a), 20(b) |
| HRMS - 32 | EMF (Employee Medical Folder) - Long-Term - Transferred Employee - Correspondence, Reports and EMF. | <u>Temporary:</u> See 5 CFR Part 293, Subpart E for instructions. | GRS 1, Item 21(a)(1) |

| | | | |
|-----------|---|---|----------------------|
| HRMS - 33 | EMF (Employee Medical Folder) - Long-Term - Separated Employee - Correspondence, Reports and EMF. | <u>Temporary:</u> Transfer to NPRC, St. Louis, MO, 30 days after separation. NPRC will destroy 75 years after birth date of employee; 60 years after date of the earliest document in the folder, if the date of birth cannot be ascertained; or 30 years after latest separation, whichever is later. | GRS 1, Item 21(a)(2) |
| HRMS - 34 | EMF (Employee Medical Folder) - Temporary or Short-Term - Correspondence, Reports and EMF. | <u>Temporary:</u> Destroy 1 year after separation or transfer of employee. | GRS 1, Item 21(b) |
| HRMS - 35 | EMF (Employee Medical Folder) - Case Files Prior to Establishment of EMF - Correspondence and Reports. | <u>Temporary:</u> Destroy 60 years after retirement to the NARA records storage facility. | GRS 1, Item 21(c) |
| HRMS - 36 | Employee Health Statistical Reports - Correspondence and Reports. | <u>Temporary:</u> Destroy 2 years after date of summary or report. | GRS I, Item 22 |

| | | | |
|-----------|--|--|--------------------------------------|
| HRMS - 37 | Employee Performance - Non-SES - Unacceptable Appraisals - Correspondence, Reports and Unacceptable Appraisals. | <u>Temporary:</u> Destroy after the employee completes 1 year of acceptable performance from the date of the written advance notice of proposed removal or reduction-in-grade notice. | GRS 1, Item 23(a)(1) |
| HRMS - 38 | Employee Performance - Non-SES Superseded by Judicial Procedures - Correspondence, Reports and Unacceptable Appraisals. | <u>Temporary:</u> Destroy when superseded. | GRS 1, Item 23(a)(2) |
| HRMS - 39 | Employee Performance - Non-SES - Former Employee Performance Records - Correspondence, Reports and Appraisals. | <u>Temporary:</u> Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee separates (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of these documents in accordance with items 23(a)(30)(b) of this schedule; Other performance plans and ratings destroy when 4 years old. | GRS 1, Item 23(a)(3)(2); 23(a)(3)(b) |

| | | | |
|-----------|---|---|-------------------------------------|
| HRMS - 40 | Employee Performance - Non-SES - Summary and Supporting Documents for Performance Appraisals - Correspondence, Reports and Appraisals. | <u>Temporary:</u> Destroy 4 years after date of appraisal. | GRS 1, Item 23(a)(4); 23(a)(5) |
| HRMS - 41 | Employee Performance - SES - Superseded by Judicial Procedures - Correspondence, Reports and Appraisals. | <u>Temporary:</u> Destroy when superseded. | GRS 1, Item 23(b)(1) |
| HRMS - 42 | Employee Performance - SES - Former Employee Performance Records - Correspondence, Reports and Appraisals. | <u>Temporary:</u> Place records on left side of the OPF and forward to gaining Federal agency upon transfer or to NPRC if employee leaves Federal service (see item 1b of this schedule). An agency retrieving an OPF from NPRC will dispose of those documents in accordance with item 23(b)(2)(b) of this schedule; Other performance ratings and plans destroy when 5 years old. | GRS 1, Item 23(b)(2)(a) 23(b)(2)(b) |
| HRMS - 43 | Employee Performance Summary and Supporting Documents for Performance Appraisals - Correspondence, Reports and Appraisals. | <u>Temporary:</u> Destroy 5 years after date of appraisal. | GRS 1, Item 23(b)(3); 23(b)(4) |

| | | | |
|-----------|---|--|--|
| HRMS - 44 | Reasonable Accommodation Requests - Correspondence and Reports. | <u>Temporary:</u> General Files destroy 3 years after supersession or when no longer needed for reference whichever is later; Employee Case Files destroy 3 years after employee separation from agency or all appeals are concluded whichever is later; Supplemental Files destroy 3 years after end of fiscal year in which accommodation is decided or all appeals are concluded, whichever is later; Tracking System delete/destroy 3 years after compliance report is filed or when no longer needed for reference. | GRS 1, Item 24(a); 24(b); 24(c); 24(d) |
|-----------|---|--|--|

| | | | |
|-----------|---|--|----------------------|
| HRMS - 45 | Examining & Certification - Examination Announcement - Correspondence, Reports, Examination and Announcements. | <u>Temporary</u> : Cut off after termination of related register or inventory or after final action is taken on the certificate generated by case examining procedures. Destroy 2 years after cut off. | GRS 1, Item 33(f) |
| HRMS - 46 | Examining & Certification - Inventory of Eligible - Correspondence, Reports and Eligible. | <u>Temporary</u> : Destroy 2 years after the date on which the register of inventory is terminated. | GRS 1, Item 33(g) |
| HRMS - 47 | Examining & Certification - Test Answer Sheets - Correspondence, Reports and Test Answer Sheets. | <u>Temporary</u> : Destroy when 6 months old. | GRS 1, Item 33(l) |
| HRMS - 48 | Examining & Certification - Lost or Exposed Test Material Case Files - Correspondence, Reports, Lost and Exposed. | <u>Temporary</u> : Destroy 5 years after cutoff. | GRS 1, Item 33(j) |
| HRMS - 49 | Examining & Certification - Cancelled and Ineligible Applications - Correspondence, Reports, Cancelled and Ineligible. | <u>Temporary</u> : Destroy 1 year after cutoff. | GRS 1, Item 33(k) |
| HRMS - 50 | Examining & Certification - Active Register Eligible Applications - Correspondence, Reports and Active Registers. | <u>Temporary</u> : Destroy 90 days after termination of the register or inventory, (except for those applications that may be brought forward to a new register or inventory, if any). | GRS 1, Item 33(l)(1) |

| | | | |
|-----------|--|---|---------------------------------------|
| HRMS - 51 | Examining & Certification - Inactive Register Eligible Applications - Correspondence, Reports, Ineligible and Eligible. | <u>Temporary:</u> Destroy 1 year after cut off. | GRS 1, Item 33(l)(2) |
| HRMS - 52 | Examining & Certification - Applications for Positions Filled by Case Examining - Correspondence, Reports, Ineligible and Eligible. | <u>Temporary:</u> Destroy 2 years after cutoff. | GRS 1, Item 33(m); 33(n) |
| HRMS - 53 | Examining & Certification - Request for Prior Approval of Personnel Action - Correspondence, Reports and Forms. | <u>Temporary:</u> Destroy 1 year after cut off. | GRS 1, Item 33(o) |
| HRMS - 54 | Examining & Certification - Files and Request Control Index - Correspondence, Reports and Forms. | <u>Temporary:</u> Destroy 2 years after cutoff. | GRS 1, Item 33(p); 33(q) |
| HRMS - 55 | Examining & Certification - Interagency Placement Program - Correspondence, Reports Applications and Registers. | <u>Temporary:</u> Destroy upon expiration of employee's DEP eligibility. | GRS 1, Item 33 (r) |
| HRMS - 56 | Examining & Certification - DEP Control Cards - Correspondence, Reports and DEP Cards. | <u>Temporary:</u> Destroy 2 years after cutoff. | GRS 1, Item 33(s) |
| HRMS - 57 | Examining & Certification - Audit Reports of Delegated Examining Operations - Correspondence and Reports. | <u>Temporary:</u> Destroy 3 years after date of the report. | GRS 1, Item 33(t) |
| HRMS - 58 | Denied Health Benefits Requests Under Spouse Equity - Correspondence, Reports and Requests. | <u>Temporary:</u> Destroy 3 years after denial. | GRS 1, Item 35(a); 35(b)(1); 35(b)(2) |
| HRMS - 59 | Drug Testing - Program Plans and Procedures - Correspondence, Reports, Plans and Procedures. | <u>Temporary:</u> Destroy when 3 years old or when superseded or obsolete. See note (2) after item 35(e)(2). | GRS 1, Item 36(a) |

| | | | |
|-----------|---|---|-------------------------|
| HRMS - 60 | Drug Testing - Employee Acknowledgement of Notice - Correspondence, Reports and Notices. | <u>Temporary:</u> Destroy when employee separates from testing-designed position. See note (2) after items 36(e)(2). | GRS 1, Item 36(b) |
| HRMS - 61 | Drug Testing - Selection/Schedule Records - Correspondence, Reports and Selection Schedules. | <u>Temporary:</u> Destroy when 3 years old. See note (2) after item 35(e)(2). | GRS 1, Item 36(c) |
| HRMS - 62 | Drug Testing - Record Books - Correspondence, Reports and Record Books. | <u>Temporary:</u> Destroy 3 years after date of last entry. See note (2) after item 35(e)(2). | GRS 1, Item 36(d)(1) |
| HRMS - 63 | Drug Testing - Chain of Custody Records - Correspondence, Reports and Chain of Custody. | <u>Temporary:</u> Destroy when 3 years old. See note (2) after item 35(e)(2). | GRS 1, Item 36(d)(2) |
| HRMS - 64 | Drug Testing - Results - Positive For Employees - Correspondence, Reports and Test Results. | <u>Temporary:</u> Destroy when employee leaves the agency or when 3 years old, whichever is later. | GRS 1, Item 36(e)(1)(a) |
| HRMS - 65 | Drug Testing - Results - Positive For Applicants - Correspondence, Reports and Test Results. | <u>Temporary:</u> Destroy when 3 years old. See note (2) after item 35(e)(2). | GRS 1, Item 36(e)(1)(b) |
| HRMS - 66 | Drug Testing - Results - Negative - Correspondence, Reports and Test Results. | <u>Temporary:</u> Destroy when 3 years old. | GRS 1, Item 36(e)(2) |

| | | | |
|-----------|--|---|-------------------|
| HRMS - 67 | Donated Leave Program - Correspondence, Reports and Donated Leave. | <u>Temporary:</u> Beginning in January 1994, destroy 1 year after the end of the year in which the file is closed. | GRS 1, Item 37 |
| HRMS - 68 | Wage Survey - Correspondence, Reports and Surveys. | <u>Temporary:</u> Destroy after completion of second succeeding wage survey. | GRS 1, Item 38 |
| HRMS - 69 | Retirement Assistance - Correspondence, Reports and Assistance. | <u>Temporary:</u> Destroy when 1 year old. | GRS 1, Item 39 |
| HRMS - 70 | Handicapped Individuals Appointment Case File - Correspondence, Reports and Case Files. | <u>Temporary:</u> Destroy 5 years following the date of approval or disapproval of each case. | GRS 1, Item 40 |
| HRMS - 71 | Pay Comparability Records - Correspondence and Reports. | <u>Temporary:</u> Destroy 3 years following the date of approval upon completion of the relevant service agreement or allowance, whichever is later. | GRS 1, Item 41 |
| HRMS - 72 | Alternative Worksite - Approved Requests - Correspondence, Reports and Requests. | <u>Temporary:</u> Destroy 1 year after end of employee's participation in the program. | GRS 1, Item 42(a) |
| HRMS - 73 | Alternative Worksite - Unapproved Requests - Correspondence, Reports and Requests. | <u>Temporary:</u> Destroy 1 year after request is rejected. | GRS 1, Item 42(b) |

| | | | |
|-----------|--|---|-----------------------|
| HRMS - 74 | Alternative Worksite - Program Evaluation - Correspondence, Reports and Evaluations. | <u>Temporary:</u> Destroy when 1 year old, or when no longer needed, whichever is later. | GRS 1, Item 42(c) |
|-----------|--|---|-----------------------|

Information Collection Records

This schedule relates to the paperwork burden for individuals, small businesses, educational and nonprofit institutions, Federal contractors, State, local and tribal governments, and other persons resulting from the collection of information by or for the Federal Government.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-----------------------|
| INFC - 1 | Reports Control - Correspondence, Reports, Case Files, OMB 83. Case files maintained for each agency report created or proposed, including public use reports. Included are clearance forms, including OMB 83 (formerly SF 83); copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements. | <u>Temporary:</u> Destroy 2 years after the report is discontinued. | GRS 16, Item 6 |
| INFC - 2 | Paperwork Reduction Act - Correspondence, Reports and Working Files. Reports required by the OMB under the Paperwork Reduction Act about the number of hours the public spends fulfilling agency reporting requirements. Included are associated feeder reports, report exhibits, correspondence, directives, and statistical compilations. | <u>Temporary:</u> Destroy when 7 years old. | GRS 16, Item 12 |

Information Technology Records

This schedule provides disposal authorization for certain files created and maintained in the operation and management of information technology (IT) and related services. The instructions apply to records regardless of physical form or characteristics. Records may be maintained on paper, microform, or electronically.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-----------------------|
| ITOM - 1 | IT Performance Measurements and Benchmarks – Records in offices with agency-wide responsibility | <u>Temporary:</u> Destroy when 5 years old or | GRS 24, Item 1(a) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-----------------------|
| | for managing IT operations relating to compliance with IT policies, directives, and plans including recurring and special reports, responses to findings and recommendations, and reports of follow-up activities. | 1 year after responsible office determines that there are no unresolved issues, whichever is longer. | |
| ITOM - 2 | IT Oversight and Compliance – All other oversight and compliance records, including certification and accreditation of equipment, quality assurance reviews and reports, reports on implementation of plans, compliance reviews, and data measuring or estimating impact and compliance. | <u>Temporary</u> : Destroy when 3 years old or 1 year after responsible office determines that there are no unresolved issues, whichever is longer. | GRS 24, Item 1(b) |
| ITOM - 3 | IT Facility, Site Management and Equipment Support Services – Records maintained by offices responsible for the control and operation of buildings and rooms where IT equipment, systems, and storage media are located, including files identifying IT facilities and sites, and files concerning implementation of IT facility and site management and equipment support services provided by specific sites. | <u>Temporary</u> : Destroy when 3 years old or when superseded or obsolete, whichever is longer. | GRS 24, Item 2 |
| ITOM - 4 | IT Inventories – of IT assets, network circuits, and building or circuitry diagrams, including equipment control systems such as databases of barcodes affixed to IT physical assets. | <u>Temporary</u> : Destroy 1 year after completion of the inventory. | GRS 24, Item 3(a) |
| ITOM - 5 | IT Configuration and Change Management – Records created and retained for asset management, performance and capacity management, system management, configuration and change management, and planning. Correspondence and Reports | <u>Temporary</u> : Destroy 1 year after termination of system. | GRS 24, Item 3(b)(1) |
| ITOM - 6 | Systems Backup (Incremental) – Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data. | <u>Temporary</u> : Destroy incremental backup tapes when superseded by a full backup, or when no longer | GRS 24, Item 4(a)(1) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-------------------------|
| | | needed for system restoration, whichever is later. | |
| ITOM - 7 | Systems Backups Full - Backup tapes maintained for potential system restoration in the event of a system failure or other unintentional loss of data. | <u>Temporary</u> : Delete full backup tapes when second subsequent backup is verified as successful or when no longer needed of system restoration, whichever is later. | GRS 24, Item 4(a)(2) |
| ITOM - 8 | Library Tapes – tape library records including automated files and manual records used to control the location, maintenance, and disposition of magnetic media in a tape library including list of holds and control logs. | <u>Temporary</u> : Destroy when superseded or obsolete. | GRS 24, Item 4(b) |
| ITOM - 9 | IT Maintenance – Records related to routine IT maintenance on the network infrastructure documenting preventative, corrective, adaptive and enhancement maintenance actions, including requests for services, work orders, service histories, and related records. | <u>Temporary</u> : Destroy when 3 years old or 1 year after termination of systems, whichever is sooner. | GRS 24, Item 3(b)(2) |
| ITOM - 10 | IT System Security Plans and Disaster Recovery Plans – Correspondence, Reports and Plans. Documents identifying IT risks and analyzing their impact, risk measurements and assessments, actions to mitigate risks, implementation of risk action plan, service test plans, test files and data. | <u>Temporary</u> : Destroy 1 year after system is superseded. | GRS 24, Item 5(a), 5(b) |
| ITOM - 11 | User Identification, Profiles, Authorizations, and Password Files – (excluding records relating to electronic signatures). Systems requiring special accountability, e.g. those containing information that may be needed for audit or investigative purposes and those than contain classified records. Correspondence, Reports, Index Lists and Logs. | <u>Temporary</u> : Destroy inactive file 6 years after users account is terminated or password is altered, or when no longer needed for investigative or | GRS 24, Item 6(a) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|---|
| | | security purposes, whichever is later. | |
| ITOM - 12 | User Identification, Profiles, Authorizations, and Password Files – Correspondence, Reports, Index Lists and Logs. Routine systems, i.e., those not covered by item 6(a). | <u>Temporary</u> : Delete when the agency determines they are no longer needed for administrative, legal, audit, or other operational purposes. | GRS 24, Item 6(b) see GRS 20, Item 1(c) |
| ITOM - 13 | IT Computer Security Incident Reporting - Correspondence and Reports. | <u>Temporary</u> : Destroy 3 years after all necessary follow-up actions have been completed. | GRS 24, Item 7 |
| ITOM - 14 | IT Operations Routine Schedules – Workload schedules, run reports, and schedules of maintenance and support activities. Correspondence and Reports | <u>Temporary</u> : Destroy when 1 year old. | GRS 24, Item 8(a) |
| ITOM - 15 | IT Operations Problem Reports – Problem reports and related decision documents relating to the software infrastructure of the network or system. Correspondence and Reports. | <u>Temporary</u> : Destroy 1 year after problem is resolved. | GRS 24, Item 8(b) |
| ITOM - 16 | IT Operations Benchmarking – Reports on operations, including measures of benchmarks, performance indicators, and critical success factors, error and exception reporting, self-assessments, performance monitoring; and management reports. Correspondence and Reports. | <u>Temporary</u> : Destroy when 3 years old. | GRS 24, Item 8 (c) |
| ITOM - 17 | IT COTR Files/Financing of IT Resources and Services – Agreements formalizing performance criteria for quantity and quality of services. Files related to managing third-party services, including records that document control measures for reviewing and monitoring contracts and procedures for determining their effectiveness and compliance. Records generated in IT management and service | <u>Temporary</u> : Destroy 3 years after agreement is superseded or terminated; control measures or procedures are superseded or terminated; without | GRS 24, Item 9(a), 9(b) and 9(c) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|---------------------------|
| | operations to identify and allocate charges and track payments for computer usage, data processing and other IT services. Correspondence, Reports, Project Files, Finance and Performance Criteria. | no outstanding payments issues. | |
| ITOM - 18 | IT Customer Service Files (Help Desk) – Records related to providing help desk information for customers, including pamphlets, responses to FAQ, help desk logs and reports and correspondence, | <u>Temporary</u> : Destroy 1 year after record is superseded or obsolete or no longer needed, whichever is later. | GRS 24, Item 10(a), 10(b) |
| ITOM - 19 | IT Infrastructure Design and Implementation Files - Not Implemented - Correspondence, Reports, Design, Installation and Testing Requirements. | <u>Temporary</u> : Destroy 1 year after final decision is made when 2 years old. | GRS 24, Item 11(a) |
| ITOM - 20 | IT Infrastructure Design and Implementation Files - Implemented - Correspondence, Reports, Design, Installation and Testing Requirements. | <u>Temporary</u> : Destroy 5 years after project is terminated. | GRS 24, Item 11(b), 11(c) |
| ITOM - 21 | Records Created Solely to Test System Performance – Electronic files or records created solely to test system performance, as well as hard copy printouts and related documentation for the electronic files/records. Correspondence and Reports. | <u>Temporary</u> : Destroy when the agency determines that they are no longer needed for administrative, legal, audit or other operational purposes. | GRS 20, Item 1(a) |
| ITOM - 22 | Records Used to Create or Update a Master File – Electronic files or records used to create or update a master file, including, but not limited to, work files, valid transactions files, and intermediate input/output records. Correspondence, Reports and Work Files. | <u>Temporary</u> : Destroy after information has been transferred to the master file and verified. | GRS 20, Item 1(b) |
| ITOM - 23 | Records Created to Monitor System Usage – Electronic files and hard copy printouts created to monitor system usage, including, but not | <u>Temporary</u> : Destroy when the agency determines that | GRS 20, Item 1(c) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-------------------------|
| | limited to, log-in-files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use. Correspondence, Reports, Log-In Password, Audit Trail, System Usage and Cost-Back. | they are no longer needed for administrative, legal, audit or other operational purposes. | |
| ITOM - 24 | Input/Source Records Non-Electronic – Hard copy (non-electronic) documents used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule. Included are such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (correspondence and reports). | <u>Temporary</u> : Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later. | GRS 20, Item 2(a) |
| ITOM - 25 | Input/Source Records Electronic - Correspondence and Reports. | <u>Temporary</u> : Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or database, whichever is later. | GRS 20, Item 2(b), 2(d) |
| ITOM - 26 | Input/Source Records Electronic Received from Another Agency - Electronic records received from another agency and used as input source records. | <u>Temporary</u> : Delete when data have been entered into the master file or database and verified, or when no longer required to | GRS 20, Item 2(c), 2(d) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-----------------------|
| | | support reconstruction of, or serve as back-up to, a master file or database, whichever is later. | |
| ITOM - 27 | Electronic Versions of GRS 1-16, 18, 22 and 23 - Correspondence and Reports. | <u>Temporary</u> : Delete after the expiration of the retention periods authorized by the GRS or when no longer needed, whichever is later. | GRS 20, Item 3(a) |
| ITOM - 28 | Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by NARA for destruction in an agency-specific records schedule - When hard copy records are retained to meet recordkeeping requirements - Correspondence and Reports. | <u>Temporary</u> : Delete electronic versions when the agency determines that it is no longer needed for administrative, legal audit or other operational purposes. | GRS 20, Item 3(b)(1) |
| ITOM - 29 | Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by NARA for destruction in an agency-specific records schedule- When the electronic record replaces hard copy records that support administrative housekeeping function - Correspondence and Reports. | <u>Temporary</u> : Delete after expiration of the retention period authorized for the hard copy file, or when no longer needed, whichever is later. | GRS 20, Item 3(b)(2) |
| ITOM - 30 | Electronic records that support administrative housekeeping functions when the records are derived from or replace hard copy records authorized by NARA for destruction in an agency-specific records schedule - Hard copy printouts created for short-term administrative purposes. - Support Administrative housekeeping functions. | <u>Temporary</u> : Destroy when the agency determines that they are no longer needed for administrative, legal, audit or other operational purposes. | GRS 20, Item 3(b)(3) |
| ITOM - 31 | Data files consisting of Summarized Information - | <u>Temporary</u> : Delete | GRS 20, |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-------------------------|
| | Correspondence and Reports. | when the agency determines that they are no longer needed for administrative, legal, audit or other operational purposes. | Item 4 |
| ITOM - 32 | Records Consisting of Extracted Information - Correspondence and Reports. | <u>Temporary</u> : Delete when the agency determines that they are no longer needed for administrative, legal, audit or other operational purposes. | GRS 20, Item 5(a), 5(b) |
| ITOM - 33 | Backups of Files for Permanent Records - Correspondence, Reports and Backups. | <u>Temporary</u> : Delete when the identical records have been captured in a subsequent backup file or when the identical records have been transferred to the National Archives and successfully copied. | GRS 20, Item 8(a) |
| ITOM - 34 | Backups of File for Temporary Records - Correspondence, Reports and Backups. | <u>Temporary</u> : Delete when the identical records have been deleted or when replaced by a subsequent backup file. | GRS 20, Item 8(b) |
| ITOM - 35 | Special Purpose Programs - Correspondence and Reports. | <u>Temporary</u> : Delete when related master file or database has been deleted. | GRS 20, Item 10 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-----------------------|
| ITOM - 36 | Documentation - Correspondence and Reports. | <u>Temporary</u> : Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest. | GRS 20, 11(a), 11(b) |

Legislative and Legal Records

This schedule provides disposal for records dealing with legislation of interest to the Agency, cooperative agreements with other agencies, States, countries, or other parties, legal opinions and determinations made pursuant to legislation, development and preparation of regulations and dockets, and similar subjects of a legal nature, relations with Congress and its committees, and congressional hearings and investigations relating to Agency's regulatory responsibilities (excluding) hearings on Agency budget.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-----------------------|
| LEGB - 8 | Congressional Correspondence – Material on and correspondence with the Congress, both committees and individual members, involving statements of policy and explanation of policy decisions, administrative action, and special research and compilation. Includes replies to congressional requests for pamphlets. | <u>Temporary</u> : Cut off at the end of the fiscal year in which correspondence is closed. Destroy 5 years after cut off. | N1-545-08-21, item 1 |
| LEGB - 9 | Correspondence – General correspondence relating to cooperative intra-agency and interagency relations, including setting up agreements, verifications, and administrative details. | <u>Temporary</u> : Cut off at the end of the fiscal year in which correspondence is closed. Destroy 5 years after cut off. | N1-545-08-21, item 2 |
| LEGB - 10 | Cooperative Agreements – Memorandums of Understanding and Cooperative Agreements reflecting cooperation with other Federal | <u>Temporary</u> : Cut off at the end of the fiscal year in which | N1-545-08-21, item 3 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-------------------------|
| | agencies, State governments, private companies, and colleges and universities. | agreement is completed, superseded, or terminated. Destroy 5 years after cut off. | |
| LEGB - 11 | Reimbursable Agreements – Reimbursable agreements reflecting cooperation with other Federal agencies, State governments, and private companies. | <u>Temporary</u> : Cut off at the end of the fiscal year in which agreement is completed, superseded, or terminated. Destroy 5 years after cut off. | N1-545-08-21, item 4 |
| LEGB -12 | Federal Register (Dockets) | | |
| | a. General material on dockets for publication in the Federal Register. Includes clearances and supporting materials. | <u>Temporary</u> : Cut off at the end of the fiscal year in which law or regulation published. Destroy 5 years after cut off. | N1-545-08-21, item 5(a) |
| | b. Official docket folders documenting the development of proposed agency-wide laws and regulations. Includes copy of final laws and regulations, significant correspondence, submission forms, work plans, agency review materials, legal opinions, and notes. | <u>Permanent</u> : Cut off at the end of the fiscal year in which law or regulation is published. Transfer to NARA 5 years after cut off. | N1-545-08-21, item 5(b) |
| | c. Files documenting the processing of the semiannual regulatory agenda. | <u>Temporary</u> : Destroy when 2 years old. | GRS 16, Item 13(b) |

Methods Development Records

This schedule provides for the disposition of records relating to the maintenance and improvement of existing equipment, instrumental and laboratory-based methods, the development of new test methods, improvements to existing methods, general procedures and standards, instrumentation and equipment, general laboratory practices, and resulting documents.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|----------------------------|-----------------------|
| METH - 2 | MD Policy – Policies and guidelines covering all | <u>Permanent</u> : Cut off | N1-545-08- |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|--------------------------|
| | subjects included under this primary subject. Documents the function, policies, and policy decisions of agency related to MD. | at the end of the fiscal year in which policy or guideline is issue. Transfer to NARA immediately after cut off. | 22, item 1 |
| METH - 3 | MD Inquiries – General inquiries and responses to specific agency research and development. Request for Samples, test samples, verification methods, information on research testing regimes, protocols, and results | <u>Temporary:</u> Cut off at the end of the fiscal year in which inquiry is resolved. Destroy 1 year after cut off. | N1-545-08-22, item 2 |
| METH - 4 | Market Needs Analysis | | |
| | a. Documents regarding agency research and development needs (identification and justification) and program prioritization decisions. | <u>Permanent:</u> Cut off at the end of the fiscal year in which project is completed. Transfer to NARA immediately after cut off. | N1-545-08-22, item 3 (a) |
| | b. Interim or draft documents regarding market needs analysis (Draft version of assessment worksheets, draft minutes of meetings, discussion memos, and suggestions from internal stakeholders/employees regarding new tests and/or process improvements). | <u>Temporary:</u> Cut off at the end of the fiscal year in which associated final documents are completed. Destroy 2 years after cut off. | N1-545-08-22, item 3 (b) |
| METH - 5 | Technical Reports | | |
| | a. FGIS scientific and technical publications related to MD (FGIS-generated external and internal documents and final reports). | <u>Permanent:</u> Cut off at the end of the fiscal year in which project is completed. Transfer to NARA immediately after cut off. | N1-545-08-22, item 4 (a) |
| | b. Interim reports and presentation related | <u>Temporary:</u> Cut off | N1-545-08- |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|--------------------------|
| | to MD activities (Abstracts, poster/workshop presentations). Draft project reports. | at the end of the fiscal year in which associated final documents are completed. Destroy 2 years after cut off. | 22, item 4 (b) |
| METH - 6 | Primary Program Records | | |
| | a. Final approved records and work plans. Files and other records of major laboratories activities, and other activities whose primary functions are research, development and/or testing (other than official inspection). Program correspondence and subject files maintained by laboratory officials, divisions, staff and researchers are included herein. | <u>Temporary:</u> Cut off at the end of the fiscal year in which final project report or work product is completed. Destroy 10 years after cut off or whenever no longer needed for business purposes, whichever is later. | N1-545-08-22, item 5 (a) |
| | b. Interim or draft documents regarding primary program records (5a). Examples of documents found in this category are: Draft and interim versions of work plans (quarterly work plan updates) and experimental plans. Communications regarding development of draft and interim work plans. | <u>Temporary:</u> Cut off at the end of the fiscal year in which final project report or work product is completed. Destroy 2 years after cut off. | N1-545-08-22, item 5 (b) |
| METH – 9 | Project Data and Analysis Files | | |
| | a. Files maintained by project managers and staff in laboratories engaged in activities related to MD functions. Included are laboratory notebooks and equivalent project documents, test and trial results, and all technical and progress reports not included under Section 5. | <u>Temporary:</u> Cut off at the end of the fiscal year in which data and analysis products are determined to be superseded or obsolete. Destroy 10 years after cut off or whenever no longer needed for | N1-545-08-22, item 6 (a) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|--------------------------|
| | | business purposes, whichever is later. | |
| | b. Intermediate data determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or sufficiently documented through internal databases or other record-keeping means, or to be of such routine or fragmentary nature that their retention would not add significantly to the related project file. | <u>Temporary:</u> Cut off at the end of the fiscal year in related project is completed or terminated. Destroy 1 year after cut off. | N1-545-08-22, item 6 (b) |
| METH – 10 | Extramural Research Agreements | | |
| | a. Final documents and records (other than those covered under records retention schedules) resulting from external collaborative activities. (Final project proposals, raw project data, meeting documents, presentations, and reports). | <u>Temporary:</u> Cut off at the end of the fiscal year in which project is completed. Destroy 10 years after cut off or whenever no longer needed for business purposes, whichever is later. | N1-545-08-22, item 7 (a) |
| | b. Interim or draft documents regarding extramural research agreements (Draft project proposals, project data (electronic and handwritten), and interim project status presentation and reports). | <u>Temporary:</u> Cut off at the end of the fiscal year in which associated final documents and projects have been completed. Destroy 5 years after cut off. | N1-545-08-22, item 7 (b) |
| METH – 11 | Development of Calibrations, Quality Assurance, and GLP Processes | | |
| | a. Records and data that support the development, implementation, and updates of calibrations for equipment and instrumentation used for official inspection. | <u>Temporary:</u> Cut off at the end of the fiscal year in which instrumentation or equipment that used the calibration is superseded or | N1-545-08-22, item 8 (a) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|--------------------------|
| | | obsolete. Destroy 10 years after cut off. | |
| | b. Documentation of MD activities related to the development and implementation of quality control and quality assurance processes used for official inspection. | <u>Temporary:</u> Cut off at the end of the fiscal year in which affected quality control processes are superseded or obsolete. Destroy 10 years after cut off. | N1-545-08-22, item 8 (b) |
| | c. Documentation of activities performed to develop and implement quality assurance and GLP systems related to MD activities. | <u>Temporary:</u> Cut off at the end of the fiscal year in which affected quality control/GLP processes are superseded or obsolete. Destroy 10 years after cut off. | N1-545-08-22, item 8 (c) |
| | d. Intermediate records and materials determined by competent scientific or technical personnel as duplicated materials. | <u>Temporary:</u> Cut off at the end of the fiscal year in which project is completed or terminated. Destroy 1 year after cut off. | N1-545-08-22, item 8 (d) |
| METH - 12 | Proprietary and Confidential Information | | |
| | a. Agreements such as proprietary, confidentiality, and materials transfer agreements, and documents that extend or terminate such agreements. | <u>Temporary:</u> Cut off at the end of the fiscal year in which agreement is terminated or expired. Destroy 5 years after cut off. | N1-545-08-22, item 9 (a) |
| | b. Material that is shared under the aforementioned agreements. (Data, | <u>Temporary:</u> Destroy according to the | N1-545-08-22, item 9 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-----------------------|
| | interpretation, and final analysis of material, Data/proprietary design information and confidential documents and evaluations required of a manufacturer or other vendor in the course of conducting procurements. | terms of the agreement. If no terms exist cut off at the end of the fiscal year in which information is superseded or obsolete. Destroy 5 years after cut off. | (b) |

Official Agencies Records

This schedule provides for records of States and private agencies (official), and persons employed by them, to provide official grain inspection and weighing services on behalf of GIPSA under the authority of the United States Grain Standards (USGSA) and for those entities providing official services on behalf of GIPSA under the authority of the Agricultural, or Marketing Act of 1946 (AMA).

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|------------------------|
| OAAS- 1 | Policy (Official Agencies) – Standard Operating Procedures Manuals and Directives covering all subjects under this primary subject. If needed, subdivide by type or subject of policy and cross-reference to appropriate subject category. | <u>Temporary</u> : Destroy when superseded. | N1-545-08-1, item 1 |
| OAAS- 3 | Reports – Reports covering all subjects under this primary subject. Cases are filed by type of report. | | |
| | a. Record copy of substantive reports, such as annual summaries and comprehensive nonrecurring reports. | <u>Permanent</u> : Transfer to FRC when 10 years old. Retire to NARA when 20 years old. | N1-545-08-1, item 3(a) |
| | b. All other reports. | <u>Temporary</u> : Destroy when 2 years old. | N1-545-08-1, item 3(b) |
| OAAS- 4 | Delegation/Designation Program (Those States delegated authority by GIPSA Administrator to provide mandatory export services under the authority of the USGSA and to States and private agencies designated authority to provide | | |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-------------------------|
| | permissive domestic services under the authority of the USGSA. | | |
| | <p>a. Case Files – These files contain applications for designation, including supporting documentation, general correspondence to the official agency from Headquarters or the field offices, work or background documents relating to performance, evaluation reports prepared to document the agency's compliance with designation criteria, and any general correspondence initiated from the agency . File alphabetically by official agency name.</p> | | |
| | <p>(1) Delegated/Designated States [Note The designation (3-year authority) is an integral part of the delegations, and the files are commingled].</p> | <p><u>Temporary:</u> Destroy when 10 years after delegation authority is cancelled. NOTE: The designation (3-year authority) is an integral part of the delegation, and the files are commingled.</p> | N1-545-08-1, item 4(a)1 |
| | <p>(2) Designated States and Private Agencies.</p> | <p><u>Temporary:</u> Destroy when 10 years after designation is terminated or cancelled.</p> | N1-545-08-1, item 4(a)2 |
| | <p>b. Certificate Approval - which includes documentation on certificates sent to field offices for (optional) verification before agencies send certificate proofs to the printer.</p> | <p><u>Temporary:</u> Retain until next set of certificates is submitted, then destroy.</p> | N1-545-08-1, item 4(b) |
| | <p>c. Documents - includes the signed delegation and/or designation document issued to the agency which grants them the authority under which to operate as an official agency. File alphabetically by</p> | | |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-------------------------|
| | official agency name. | | |
| | (1) Delegated/Designated States | <u>Temporary:</u> Destroy 10 years after delegation is cancelled. | N1-545-08-1, item 4(c)1 |
| | (2) Designated States and Private Agencies | <u>Temporary:</u> Destroy 10 years after designation is terminated or otherwise canceled. | N1-545-08-1, item 4(c)2 |
| | d. Federal Register Notices that are non-rulemaking. Announces delegation and designation actions. | <u>Temporary:</u> Destroy when 10 years old. | N1-545-08-1, item 4(d) |
| | e. Fee Schedules – records include the approved schedule of fees used by the official agencies to charge for services provided to their applicants. General correspondence and background materials showing how the fees were developed. | <u>Temporary:</u> Destroy when 6 years old or superseded, whichever is greater. | N1-545-08-1, item 4(e) |
| OAOS – 5 | Official Personnel – this section contains files on those persons employed by official agencies under the authority of the USGSA. | | |
| | a. Conflict of Interest correspondence – Correspondence relating to conflicts of interest of licensed and non-licensed personnel employed by official agencies. The originating office is the Compliance Division. For all other offices, if a licensing issuance file is maintained, file conflict of interest materials in the location (see item 5c of this schedule. | <u>Temporary:</u> Destroy immediately when licensee is deceased or 5 years after license is terminated, whichever is applicable. | N1-545-08-1, item 5(a) |
| | b. License Examination Materials | <u>Temporary:</u> Destroy immediately when licensee is deceased or 5 years after license is terminated, | N1-545-08-1, item 5(b) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|------------------------|
| | | whichever is applicable. | |
| | c. License Issuance - documents relating to licensee applications, examinations and grades, renewals, corrective action, suspensions, terminations, and authorized functions. Files may be divided first by official agency name or be license level. Must be subdivided alphabetically by licensee name. | <u>Temporary:</u> Destroy immediately when licensee is deceased or 5 years after license is terminated, whichever is applicable. | N1-545-08-1, item 5(c) |

Official Services Records

This schedule provides for records of official services provided by GIPSA under the Agricultural Marketing Act of 1946, as amended (AMA) or the United States Grain Standards Act (USGSA)

| | | | |
|----------|--|--|-------------------------|
| OAOS – 6 | (Official Services) General Correspondence – these are general inquiries and responses under this category: General requests for information on how to obtain official services; General requests for information related to sampling or inspection; and General requests for information on certification billing. | <u>Temporary:</u> Cut off at the end of the fiscal year in which correspondence is closed. Destroy 1 year after cut off. | N1-545-08-11, item 1 |
| OAOS - 7 | Official Services Reports | | |
| | a. Final reports for collaborative studies and reports such as the international Hard Red spring wheat protein collaborative | <u>Permanent:</u> Cut off at the end of the fiscal year in which reported is created. Transfer NARA immediately after cut off. | N1-545-08-11, item 2(a) |
| | b. Records of the development, distribution, evaluation of results and reports related to collaborative studies. Records include sample/material collection and evaluation for use notes, raw and summary data, correspondence with participants, and draft reports. | <u>Temporary:</u> Cut off at the end of the fiscal year in which final report is issued. Destroy 3 years after cut off or when no longer needed for business purposes, whichever is later. | N1-545-08-11, item 2(b) |

| | | | |
|----------|--|--|--------------------------------|
| | <p>c. Non-significant reports, such as trip reports related to visiting official service locations, presentation content, and meeting presentations (both external and meetings provided at USDA facilities).</p> | <p><u>Temporary:</u> Cut off at the end of the fiscal year in which report is created. Destroy 3 years after cut off or when no longer needed for business purposes, whichever is later.</p> | <p>N1-545-08-11, item 2(c)</p> |
| OAOS – 8 | <p>Centralized Services – The category covers records of testing services provided by GIPSA at the central headquarters laboratory.</p> | | |
| | <p>a. Final documents related to for-fee testing services provided under either USGSA or the AMA. Example: Appeal of Board records; trace analysis services, and processed commodities testing service records.</p> | <p><u>Temporary:</u> Cut off at the end of the fiscal year in which certificate is generated. Destroy 5 years after cut off.</p> | <p>N1-545-08-11, item 3(a)</p> |
| | <p>b. Evaluation of test methods provided on a fee-for service basis. Examples: Method Evaluation Service records such as test kit evaluations data, analyses, reports, certificates, including all associated testing records required by the service.</p> | <p><u>Temporary:</u> Cut off at the end of the fiscal year in which service is closed. Destroy 5 years after cut off.</p> | <p>N1-545-08-11, item 3(b)</p> |
| | <p>c. Technical Training - Records of training provided to various entities, including license training, grain grading seminars, and informational training. Training can be fee-basis or non-fee basis. Examples: Training agendas, requests, attendance records, handouts; and billing documents if fee-based training.</p> | <p><u>Temporary:</u> Cut off at the end of the fiscal year in which training is conducted. Destroy 5 years after cut off or when no longer needed for business purposes, whichever is later.</p> | <p>N1-545-08-11, item 3(c)</p> |
| | <p>d. Proficiency Testing – Outside Laboratories. Records of the development, distribution, evaluation of results and reports related to proficiency programs.</p> | <p><u>Temporary:</u> Cut off at the end of the fiscal year in which training is conducted. Destroy 5 years after cut off or when no longer needed for business</p> | <p>N1-545-08-11, item 3(d)</p> |

| | | | |
|----------|---|--|--------------------------|
| | | purposes, whichever is later. | |
| OAOS – 9 | Field-Based Services – this category covers records of testing services provided by GIPSA at field locations. | | |
| | a. Graded Commodity Testing – Includes rice, beans, peas, and lentils. | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off. | N1-545-08-11, item 4(a) |
| | b. Processed Commodity Testing – Records of processed commodity testing services. | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off. | N1-545-08-11, item 4(b) |
| | c. Sanitation Inspection Services – Records of sanitation inspection services conducted at applicant facilities. | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off. | N1-545-08-11, item 4(c) |
| | d. Grain Inspection - Original | | |
| | (1) Barges, Inspection and/or Weighing. | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off. | N1-545-08-11, item 4(d)1 |
| | (2) Export Ships. | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off. | N1-545-08-11, item 4(d)2 |
| | (3) Land carries Inspection and/or Weighing. | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off. | N1-545-08-11, item 4(d)3 |
| | e. Grain Inspection – Reinspection, Appeal Inspection and Board Appeal (Records of reinspection, appeal, and board appeal testing – file by certificate number). | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off. | N1-545-08-11, item 4(e) |
| | f. Voided Certificates - (printed errors) may be filed according to local field office | <u>Temporary:</u> Cut off at the end of the | N1-545-08-11, item |

| | | | |
|----------|--|---|-------------------------|
| | custom, either separately or with the inspection with which it is performed. | fiscal year in which created. Destroy 5 years after cut off. | 4(f) |
| | g. Stowage Examinations - services, including application for inspection, worksheet, and certificate. | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off. | N1-545-08-11, item 4(g) |
| | h. Miscellaneous Service - records of other official testing services. | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off. | N1-545-08-11, item 4(h) |
| | i. Technical Training - records provided on a fee-basis to various applicants, including licensee training, grain grading seminar, and informational training. | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off. | N1-545-08-11, item 4(i) |
| OAOS -10 | Scales and Weights Program | | |
| | a. Correspondence - records of a general nature relating to the scales program not covered below. | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off. | N1-545-08-11, item 5(a) |
| | b. Worksheets – worksheets and scale test reports from bulk scales, hopper scales, commodity scales, vehicle scales and railroad track scales. | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off. | N1-545-08-11, item 5(b) |
| | c. Weights Testing - records such as worksheets and test weight calibration forms relating to tests performed for certification of weights | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off. | N1-545-08-11, item 5(c) |
| | d. Optical Inspection Equipment - documents such as records on installation, evaluation, evaluation criteria, and system approval relating to maintenance, adjustments and repairs and security of CCTV equipment of elevators. | <u>Temporary:</u> Cut off at the end of the fiscal year in which created. Destroy 5 years after cut off or whenever no longer needed for business purposes, whichever is later. | N1-545-08-11, item 5(d) |

Payroll Records

This schedule relates to pay rolling and pay administration records of disbursements to civilian employees of Government for personal services.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|---------------------------------|
| PAYR - 1 | Leave Application - Correspondence, Reports, SF 71 and Other Forms. | <u>Temporary</u> : Destroy after GAO audit or when 3 years old, whichever is sooner. | GRS 2, Item 6(b) |
| PAYR - 2 | Time and Attendance – All time and attendance records upon which leave data input data is based, such as time or sign-in sheets, leave applications; and authorized premium pay or overtime. Records in either paper or machine readable form used to input time and attendance data into a payroll system, maintained either by agency or payroll processor. | <u>Temporary</u> : Destroy after GAO audit or when 6 years old, whichever is sooner. | GRS 2, Item 7, 8 |
| PAYR - 3 | Leave Record - Correspondence, Reports and SF 1150. | <u>Temporary</u> : Destroy when 3 years old. | GRS 2, Item 9(b) |
| PAYR - 4 | Tax Files - Correspondence, Reports, W-2, W-3, W-4 and state form. Deductions, Allotments, and Electronic Funds Transfer. | <u>Temporary</u> : Destroy 4 years after superseded or obsolete or upon separation of employee. | GRS 2, Item 13(a), 13(b), 13(c) |
| PAYR - 5 | Savings Bond Purchase Authorization - Correspondence, Reports, US Savings Bonds, SB 2152. | <u>Temporary</u> : Destroy when superseded or after separation of employee. | GRS 2, Item 14(a) |
| PAYR - 6 | Savings Bond Registration and Receipt - Correspondence, Reports, Registrations, Receipts and Transmittals. | <u>Temporary</u> : Destroy 4 months after date of issuance of bond. | GRS 2, Item 14(b), 14(c) |
| PAYR - 7 | Combined Federal Campaign (CFC) - Correspondence, Reports, Allotment and Authorization. | <u>Temporary</u> : Destroy after GAO audit or | GRS 2, Item 15(a), |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|--------------------------|
| | | when 3 years old, whichever is sooner. | 15(b) |
| PAYR - 8 | Thrift Savings Plan Election Form (TSP) - Correspondence, Reports, TSP-1. | <u>Temporary</u> : Destroy when superseded or after separation of employee. | GRS 2, Item 16 |
| PAYR - 9 | Direct Deposit Sign-Up - Correspondence, Reports, SF 1199A. | <u>Temporary</u> : Destroy when superseded or after separation of employee. | GRS 2, Item 17 |
| PAYR - 10 | Levy and Garnishment - Correspondence, Reports, IRS Form 668A, Change Slip, Work Papers and Income Tax. | <u>Temporary</u> : Destroy 3 years after garnishment is terminated. | GRS 2, Item 18 |
| PAYR - 11 | Payroll System Reports - Correspondence, Reports, Error Reports, System Operations Reports, and Workload Reports. | <u>Temporary</u> : Destroy when 2 years old. | GRS 2, Item 22(a), 22(b) |
| PAYR - 12 | Agency Payroll Fiscal Reports - Correspondence and Reports. | <u>Temporary</u> : Destroy after GAO audit or when 3 years old, whichever is sooner. | GRS 2, Item 22(c) |
| PAYR - 13 | Payroll Changes - Correspondence, Reports, Pay Changes, Updated, GAO Audit and Pay Correction. | <u>Temporary</u> : Destroy after GAO audit or when 3 years old, whichever is sooner. | GRS 2, Item 23(a) |
| PAYR - 14 | Payroll Correspondence - Correspondence. | <u>Temporary</u> : Destroy when 2 years old. | GRS 2, Item 24 |
| PAYR - 15 | Retirement Files - Correspondence, Reports, Registers, Control Documents, SF 2807. | <u>Temporary</u> : For CSRS/FERS related records, destroy upon receipt of | GRS 2, Item 28 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|-------------------------------------|--|-----------------------|
| | | official OPM acceptance of annual summary. | |

Policies, Procedures, and Market Analysis Records

Records of the Field Management Division dealing with the development, implementation, and maintenance of U.S. Standards, also included are those records associated with developing procedures for testing and evaluation programs.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-------------------------|
| PPMA - 1 | Policy – Records of the Field Management Division (Correspondence, Reports, Procedures, and Standards). | | |
| | a. Agency Directives and Handbook, official policies on weighing and inspection services for grains, including final published standards and procedures. | <u>Permanent:</u> Cut off at the end of the fiscal year in which policy is created. Transfer to NARA immediately after cut off. | N1-545-08-24, item 1(a) |
| | b. Program Notices containing temporary policy instructions. | <u>Temporary:</u> Destroy when superseded or obsolete. | N1-545-08-24, item 1(b) |
| PPMA - 2 | Reports | | |
| | a. Substantive reports containing significant statistical information, such as the Export Quality report. | <u>Permanent:</u> Cut off at the end of the fiscal year in which policy is created. Transfer to NARA immediately after cut off. | N1-545-08-24, item 2(a) |
| | b. Non-substantive, administrative reports, such as white papers, informational memos, and decision memos. | <u>Temporary:</u> Destroy when superseded or obsolete. | N1-545-08-24, item 2(b) |
| PPMA – 3 | Procedures – Case files created in the establishment, review, and revision of procedures established for inspecting and weighing grains, edible peas, lentils, and rice under the U.S. Grain | <u>Temporary:</u> Cut off at the end of the fiscal year in which procedures is | N1-545-08-24, Item 3 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-----------------------|
| | Standards Act and the AMS of 1946. Case files include correspondence, background research, informational files, and input from public and private stakeholder units. | updated. Destroy when procedure is superseded or obsolete or after 5 years after cut off, whichever is later. | |
| PPMA -4 | Standards – Case files cared in the establishment, review, and revision of stands established for inspecting and weighing grains, edible peas, lentils, and rice under the U.S. Grain Standards Act and the Agricultural Marketing Act of 1946. Case files include correspondence, background research, informational files, and input from public and private stakeholder units. | <u>Temporary:</u> Cut off at the end of the fiscal year in which standard is published or the case is closed. Destroy when standard is superseded or obsolete or 20 years after cut off, whichever is later. | N1-545-08-24, Item 4 |

Privacy Records

This schedule provides for files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|---------------------------------|
| PRIV - 1 | Privacy Act Requests (Granted) - Correspondence and supporting documents (excluding the official file copy of the records requested if filed herein). Granting access to all the requested records. | <u>Temporary:</u> Destroy 2 years after date of reply. | GRS 14, Item 21(a)(1), 21(b) |
| PRIV - 2 | Privacy Act Requests - Nonexistent Records – Responding to request for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees. Correspondence and Reports. | <u>Temporary:</u> Destroy 2 years after date of reply. | GRS 14, Item 21(a)(2)(a), 21(b) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|---------------------------------|
| | | | |
| PRIV - 3 | Privacy Act Requests - Denied – Denying access to all or part of the records requested. Correspondence and Reports. | <u>Temporary</u> : Destroy 5 years after date of reply. | GRS 14, Item 21(a)(3)(a), 21(b) |
| PRIV - 4 | Privacy Act Amendments - Agency Agrees to Amend – Correspondence, Reports and Case Files. | <u>Temporary</u> : Dispose of in accordance with the approved disposition instructions for the related subject individual's record or 4 years after agency's agreement to amend, whichever is later. | GRS 14, Item 22(a) |
| PRIV - 5 | Privacy Act Amendments - Agency Refuses to Amend - Correspondence, Reports and Case Files. | <u>Temporary</u> : Dispose of in accordance with the approved disposition instructions for the related subject individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later. | GRS 14, Item 22(b) |
| PRIV - 6 | Privacy Act Amendments - Appealed - Correspondence, Reports and Case Files. | <u>Temporary</u> : Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by | GRS 14, Item 22(c) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|---------------------------|
| | | courts, whichever is later. | |
| PRIV - 7 | Privacy Act Accounting of Disclosure - Correspondence, Reports and Forms. | <u>Temporary</u> : Dispose of in accordance with approved disposition instructions for the related subject individual's records of 5 years after the disclosure for which the accountability was made, whichever is later. | GRS 14, Item 23 |
| PRIV - 8 | Privacy Act Control - Correspondence, Reports, Registers and Lists. | <u>Temporary</u> : Destroy 5 years after the date of last entry. | GRS 14, Item 24(a), 24(b) |
| PRIV - 9 | Privacy Act Reports and Administrative Files - Correspondence and Reports. | <u>Temporary</u> : Destroy when 2 years old. | GRS 14, Item 25, 26 |

Project Records

This schedule provides for the disposal of certain records relating to project planning and studies.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-----------------------|
| PROJ - 1 | Project Controls – Memoranda, reports, and other records documenting assignments, progress, and completion of projects. | <u>Temporary</u> : Destroy 1 year after the year in which the project is closed. | GRS 16, Item 5 |
| PROJ - 2 | Feasibility Studies – Studies conducted before the installation of any technology or equipment associated with information management systems. Correspondence and Reports. | <u>Temporary</u> : Destroy 5 years after completion or cancellation of study. | GRS 16, Item 9 |

Property Records

This schedule pertains to the sales by agencies of real and personal property surplus to the needs of the Government.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-----------------------|
| PROP - 1 | Property Disposal Correspondence - Correspondence and Reports. | <u>Temporary</u> : Destroy when 2 years old. | GRS 4, Item 1 |
| PROP - 2 | Excess Personal Property Reports - Correspondence Reports, SF 120, SF 120-A, SF 121, SF 122, SF 123, SF 123-A, SF 126, SF 126-A. | <u>Temporary</u> : Destroy when 3 years old. | GRS 4, Item 2 |
| PROP - 3 | Surplus Property Over \$25,000 - Correspondence, Reports and Case Files. | <u>Temporary</u> : Destroy 6 years after final payment. | GRS 4, Item 3(a) |
| PROP - 4 | Surplus Property Under \$25,000 - Correspondence, Reports and Case Files. | <u>Temporary</u> : Destroy 3 years after final payment. | GRS 4, Item 3(b) |
| PROP - 5 | Real Property Files - Correspondence, Reports and Case Files. Records necessary or convenient for the use of real property sold, donated, or traded to non Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists, and duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value, (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) that if the property is released for historical use or purpose, the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes. | <u>Temporary</u> : Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage. NOTE: Case files on the disposal of surplus real and related personal property and excess real property reports are not covered by the GRS because some of these files may have long-term legal value. Agencies must schedule these series by SF 115. | GRS 4, Item 4 |

Quality Assurance/Quality Control Programs (QAQC)

This schedule provide for Quality Assurance and Quality Control records and materials created to monitor, maintain, and improve the development and execution of services delivered by the official system.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|------------------------|
| QAQC - 1 | QAQC Policy and Guidelines – Policies and guidelines covering all subjects included under this primary subject. | <u>Permanent:</u> Cut off at the end of the fiscal year in which policy and guidelines are created. Transfer to NARA immediately after cut off. | N1-545-08-2, item 1 |
| QAQC - 2 | QAQC Inquiries – These are general inquiries and responses under this subject category such general requests for information on how quality activities are conducted. | <u>Temporary:</u> Destroy when 3 months old. | GRS 14, item 1 |
| QAQC - 3 | QAQC Reports | | |
| | a. Record copy of substantive reports, annual summaries and comprehensive nonrecurring reports. | <u>Permanent:</u> Cut off at the end o the fiscal year in which reports is created. Transfer to NARA immediately after cut off. | N1-545-08-2, item 3(a) |
| | b. Early Alert Reports | <u>Temporary:</u> Destroy when 3 years old. | N1-545-08-2, item 3(b) |
| | c. All other reports such as audit reports and findings, non-conformity dispositions, and auditor notes. | <u>Temporary:</u> Destroy when obsolete or no longer needed for business purposes. | N1-545-08-2, item 3(c) |
| QAQC - 4 | Cooperative Agreements – Contracts established between official agencies and their field offices and between field offices and the Board of Appeals and Review. | <u>Temporary:</u> Destroy 5 years after superseded or when no longer needed for business purposes. | N1-545-08-2, item 4 |
| QAQC -5 | Complaints | | |
| | a. Domestic or Weighing – Material | <u>Temporary:</u> Destroy | N1-545-08- |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|------------------------|
| | associated with complaints about domestic inspection quality or the weighing program. | 5 years after superseded or when no longer needed for business purposes. | 2, item 5(a) |
| | b. Foreign – Material associated with complaints about inspection quality or weighing quantity of grains or commodities exported from the United States. | <u>Temporary:</u> Destroy when 10 years old. | N1-545-08-2, item 5(b) |
| QAQC –6 | Initial and Periodic Quality Evaluations | | |
| | a. Documents/Records – Performance Testing and maintenance records of equipment, mechanical probe samplers, specialized quality assurance programs, image-based testing, falling number testing, mycotoxin testing, moisture testing. Protein testing and oil testing. | <u>Temporary:</u> Destroy 5 years after superseded or when no longer needed for business purposes. | N1-545-08-2, item 6(a) |
| | b. Documents of Approval and Maintenance – Maintenance documentation on instruments and initial evaluation of new inspection instrumentation | <u>Temporary:</u> Maintain for 1 year after the specific instrument is removed from service. | N1-545-08-2, item 6(b) |
| | c. Documents of routine quality assurance – Good Laboratory Practices (GLP) including maintenance, performance, and usage data for equipment and instrumentation used in the methods development activities. | <u>Temporary:</u> Maintain for 1 year after the specific instrument is removed from service. | N1-545-08-2, item 6(c) |
| QAQC –7 | Reference Materials – Records of development, distribution, updating, and/or replacement of reference materials used for quality control/assurance. Includes standard reference samples, Visual Reference Images, Interpretive Line Prints. | <u>Temporary:</u> Destroy 5 years after superseded or when no longer needed for business purposes. | N1-545-08-2, item 7 |
| QAQC –8 | Intermarket Activities – Records related to activities to identify and/or quantify intermarket differences within the official inspection system. | <u>Temporary:</u> Destroy 5 years after superseded or when no longer needed for business purposes. | N1-545-08-2, item 8 |
| QAQC –9 | Local Plans – Records include the nine individual | <u>Temporary:</u> Retain until superseded or | N1-545-08- |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|-------------|-----------------------|
| | GIPSA field offices, the Board of Appeals and Review's plan for operating their quality program. | obsolete. | 2, item 9 |

Records Management Records

This schedule provides for the disposal of certain records relating to administrative management activities in Federal agencies, excluding records of operating personnel, budget, accounting and printing functions, which are covered by other schedules. Included within the scope of this schedule are disposable records created in the planning, use, and retention of records (records management activities).

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-----------------------|
| RMGT - 1 | SF 115 Disposition Schedules - Correspondence, Reports, Inventories and Schedules. | <u>Temporary</u> : Destroy 2 years after supersession. | GRS 16, Item 2(a)(1) |
| RMGT - 2 | SF 135, SF 258 Records Transfer - Correspondence, Reports, SF 135 and SF 258. | <u>Temporary</u> : Destroy 6 years after records are destroyed or after the related records are transferred to the National Archives of the United States, whichever is applicable. | GRS 16, Item 2(a)(2) |
| RMGT - 4 | Records Management Files - Correspondence and Reports, authorizations, and other records that relate to the management of agency records, including such matters as forms, correspondence, reports, mail, and files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs; and all other aspects of records management not covered elsewhere in this schedule. | <u>Temporary</u> : Destroy when 6 years old. | GRS 16, Item 7 |
| RMGT - 5 | Microform Inspection Permanent Records - Correspondence, Reports and Logs. | <u>Temporary</u> : Destroy 1 year after the records are transferred to the National Archives | GRS 16, Item 10(a) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-----------------------|
| | | of the United States. | |
| RMGT - 6 | Microform Inspection Temporary Records - Correspondence, Reports and Logs. | <u>Temporary:</u> Destroy when 2 years old or when superseded, whichever is later. | GRS 16, Item 10(b) |

Safety, Health, Environment, and Security Records

This schedule pertains to general material relating to GIPSA's safety and health program, safety management, building and personal security, emergency preparedness, environment and energy, material safety data sheets, medical surveillance/physicals, personal injury, pollution control and hazardous waste, and safety inspections.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-----------------------|
| SAFE - 1 | Occupational Injury and Illness - Correspondence and Reports. Reports and logs (including Occupational Safety and Health Administration (OSHA) Forms 100, 101, 102, and 200, or equivalents) maintained as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment. Case files of internal investigations relating to safety, health, environment, and energy. | <u>Temporary:</u> Destroy when 5 years old. | GRS 1, Item 34 |
| SAFE - 3 | Safety Management - Case files of internal investigations relating to safety, health, environment, and energy. Includes assessment materials, notifications, training, final reports, and trending information. | <u>Temporary:</u> Cut off at the end of the fiscal year in which investigation is closed. Destroy 5 years after cut off or whenever no longer needed for business purposes; whichever is later. | N1-545-08-7, Item 1 |
| SAFE - 6 | Material Safety Data Sheets - Records compiled on chemicals used in the workplace detailing risks and attributes of each chemical. | <u>Temporary:</u> Cut off at the end of the fiscal year in which agreement is | N1-545-08-7, Item 5 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-----------------------|
| | | inactive. Delete or destroy 2 years after cut off. | |
| SAFE - 7 | Pollution and Hazardous Waste – Case files documenting chemical inventories, hazardous waste generation reports, and citations from regulating agencies. | <u>Temporary</u> : Cut off at the end of the fiscal year in which case files is created. Destroy 3 years after cut off. | N1-545-08-7, Item 6 |
| SAFE - 8 | Workplace Violence – Case files of investigations into incidents of workplace violence, including investigation reports, statements, notifications, complaints, initial reports, final reports, and assessments. | <u>Temporary</u> : Cut off at the end of the fiscal year in which investigation is resolved. Destroy 5 years after all involved parties leave the agency. | N1-545-08-7, Item 7 |

Telecommunications Records

This schedule provides for the principal records documenting communication functions include messenger service data; telecommunications service control and operational records.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-------------------------------|
| TELE - 1 | Telecom Correspondence - Correspondence related records pertaining to internal administration and operation. | <u>Temporary</u> : Destroy when 2 years old. | GRS 12, Item 2(a) |
| TELE - 2 | Telecom General Files - Correspondence, Reports, Plans, Equipment Requests and Telephone Service. | <u>Temporary</u> : Destroy when 3 years old. | GRS 12, Item 2(b) |
| TELE - 3 | Telecom Statistical Reports - Correspondence and Reports. Telecommunications general files, including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters. | <u>Temporary</u> : Destroy when 1 year old. | GRS 12, Item 2(c) |
| TELE - 4 | Telecom Vouchers - Correspondence, Reports, Installation, Change, Removal and Servicing. | <u>Temporary</u> : Destroy 1 year after audit or when 3 years old, whichever is sooner. | GRS 12, Item 2(d)(1), 2(d)(2) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|---|-----------------------|
| TELE - 5 | Telecom Agreements - Correspondence, Reports, Background and Case Files. | <u>Temporary</u> : Destroy 2 years after expiration or cancellation of agreement. | GRS 12, Item 2(e) |
| TELE - 6 | Telecom Operational - Correspondence, Reports and Message Registers. | <u>Temporary</u> : Destroy when 6 months old. | GRS 12, Item 3(a) |
| TELE - 7 | Telecom Operational Copies - Correspondence, Reports and SF 14. | <u>Temporary</u> : Destroy when 2 years old. | GRS 12, Item 3(b) |
| TELE - 8 | Call Detail - Correspondence and Reports. | <u>Temporary</u> : Destroy when 3 years old. Initial reports may be destroyed earlier if the information needed to identify abuse has been captured in other records. | GRS 12, Item 4 |

Training Records

This schedule provides for records of policy, plans, procedures, operations, and other material related to training and employee development of Agency personnel.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|-----------------------|
| TRNG- 4 | Training Facilities – Material relating to available training facilities including equipment used for training purposes. Includes information on vendors, conferences rooms, resources available. | <u>Temporary</u> : Destroy when 3 years old (Originating Office); Destroy when 2 years (All Other Offices). | N1-545-08-23, Item 5 |
| TRNG – 5 | Training Programs (Plans and Estimates) – Correspondence relating to Agency or program long and short-range group training plans and estimates. Information request to develop administrative and training programs in the following areas: administrative, developmental, mandated (cyber security, safety, civil rights, etc.) supervisory/managerial/leadership, technical training. | <u>Temporary</u> : Cut off at the end of the fiscal year in which plans and estimates are completed. Destroy 3 years after cut off. | N1 -545-08-23, Item 4 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-----------------------|
| | <ul style="list-style-type: none"> • Lunch time training programs • Technical training programs on agency specific technical • Legal • OPM Competency (Communication skills, Time Management, Financial Management, Civil Rights Training). | | |
| TRNG - 7 | Training Records: General File of Agency Sponsored Training - Correspondence, memoranda, agreements, authorizations, reports, plans. | <u>Temporary:</u> Destroy when 5 years old or 5 years after completion of a specific training program. | GRS 1, Item 29 a(1) |
| TRNG - 8 | Background Materials and Raw Training Needs Individual Assessment and Evaluation Data and Worksheets – Raw individual employee assessment data or work papers and notes. This includes Agency-wide and individual assessments which includes leadership and mandated supervisory and management training. <ul style="list-style-type: none"> • Individual employee developments plans such as the Individual Development Plan form • Individual 360 Supervisory or Management Assessments • Correspondence and e-mails regarding assessments such as IDPs and 360 surveys | <u>Temporary:</u> Cut off at the end of the fiscal year in which evaluation or assessment is conducted. Destroy 5 years after cut off. | N1-545-08-23, Item 2 |
| TRNG- 9 | Employee Training - Correspondence, memoranda reports, and other records relating to the availability of training and employee participation in training programs sponsored by other government agencies or non-Government institutions. | <u>Temporary:</u> Destroy when 5 years old or when superseded or obsolete, whichever is sooner. | GRS 1, Item 29 (b) |
| TRNG - 10 | Policy – Policy and guidelines that cover all subjects that impact training. <ul style="list-style-type: none"> • Memos to staff about training requirements • Guidelines on how to request training • Requirements for specific training in AgLearn | <u>Temporary:</u> Cut off at the end of the fiscal year in which policy is disseminated. Destroy 10 years old after cut off or | N1-545-08-23, Item 1 |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-----------------------|
| | | when superseded or obsolete, whichever is later. | |
| TRNG - 11 | Reports and Statistics – Reports and briefings covering all subjects included under this primary subject. <ul style="list-style-type: none"> Employee Development Training Plans Reports that summarize IDP data 360 or Supervisory or Management Survey Reports created by the agency to evaluate training requests Organizational Assessment Survey data reports or similar surveys that assess organizational needs that are managed by the training office | <u>Temporary</u> : Cut off at the end of the fiscal year in which report is created. Destroy 10 years after cut off. | N1-545-08-23, Item 2 |

Travel Records

This schedule covers records documenting the movement of goods and persons under Government orders. The records include bills of lading, transportation requests, transportation vouchers, per diem vouchers, travel authorizations, and all supporting documentation, included that prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|---|------------------------------------|
| TRVL - 1 | Commercial Freight and Passenger Transportation - Correspondence, Reports, Vouchers, Registers, Bills of Lading and Forms. Original vouchers and support documents. | <u>Temporary</u> : Destroy 6 years after the period of the account. | GRS 9, Item 1(a), 1(c), 4(a), 4(b) |
| TRVL - 2 | Commercial Freight and Passenger Transportation Settled - Correspondence, Reports, Vouchers, Registers, Bills of Lading and Forms. | <u>Temporary</u> : Destroy when 10 years old. | GRS 9, Item 1(b), 4(a), 4(b) |
| TRVL - 3 | Obligation Copy Commercial Passenger Transportation Vouchers - Correspondence, Reports and Vouchers. | <u>Temporary</u> : Destroy when funds are obligated. | GRS 9, Item 1(e), 4(a), 4(b) |
| TRVL - 4 | Unused Ticket Redemption - Correspondence, Reports SF 1170. | <u>Temporary</u> : Destroy 3 years after the year in which the transaction is | GRS 9, Item 1(e), 4(a), 4(b) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|------------------------------|
| | | completed. | |
| TRVL - 5 | Lost or Damaged Shipments - Correspondence, Reports and Shipment Schedules. | <u>Temporary</u> : Destroy when 6 years old. | GRS 9, Item 2, 4(a), 4(b) |
| TRVL - 6 | Noncommercial Reimbursable Travel - Correspondence, Reports, Travel Orders and Vouchers. | <u>Temporary</u> : Destroy when 6 years old. | GRS 9, Item 3(a), 4(a), 4(b) |
| TRVL - 7 | Obligation Copy Noncommercial Reimbursable Travel - Correspondence, Reports and Obligation Copy. | <u>Temporary</u> : Destroy when funds are obligated. | GRS 9, Item 3(b), 4(a), 4(b) |
| TRVL - 8 | Official Passport Application - Correspondence, Reports and Case Files. | <u>Temporary</u> : Destroy when 3 years old or upon separation of the bearer, whichever is sooner. | GRS 9, Item 5(a), 4(a), 4(b) |
| TRVL - 9 | Official Passport Annual Report - Correspondence and Reports. | <u>Temporary</u> : Destroy when 1 year old. | GRS 9, Item 5(b), 4(a), 4(b) |
| TRVL - 10 | Official Passport Registers - Correspondence and Reports. | <u>Temporary</u> : Destroy when superseded or obsolete. | GRS 9, 5(c), 4(a), 4(b) |
| TRVL - 11 | Federal Employee Transportation Subsidy - Correspondence, Reports, Applications, Logs, Vouchers. | <u>Temporary</u> : Destroy when 3 years old. | GRS 9, Item 7, 4(a), 4(b) |
| TRVL - 12 | Government Travel Card System – Materials relating to issuance and use of Government-issued travel card to employees. | <u>Temporary</u> : Cut off annually. Destroy when 5 years old. | N1-545-08-19, item 3 |

Vehicle Maintenance/Operations Records

These records pertain to the management, maintenance, and operation of motor vehicles used by agencies.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-------------------------|
| VEHI - 1 | Motor Vehicle Correspondence - Correspondence and Reports. | <u>Temporary</u> : Destroy when 2 years old. | GRS 10, Item 1 |
| VEHI - 2 | Motor Vehicle Operation and Maintenance - Correspondence, | <u>Temporary</u> : Destroy when 1 year old. | GRS 10, Item 2(a), 2(b) |

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-----------------------|
| | Reports, Maintenance, Gas, Dispatching and Scheduling. | | |
| VEHI - 3 | Motor Vehicle Costs - Correspondence, Reports and Ledgers. | <u>Temporary</u> : Destroy 3 years after discontinuance of ledger or date of worksheet. | GRS 10, Item 3 |
| VEHI - 4 | Motor Vehicle Reports - Correspondence, Reports and SF 82. | <u>Temporary</u> : Destroy 3 years after date of report. | GRS 10, Item 4 |
| VEHI - 5 | Motor Vehicle Accident - Correspondence, Reports, SF 91 and SF 94. | <u>Temporary</u> : Destroy 6 years after case is closed. | GRS 10, Item 5 |
| VEHI - 6 | Motor Vehicle Release - Correspondence, Reports and SF 97. | <u>Temporary</u> : Destroy 4 years after vehicle leaves agency custody. | GRS 10, Item 6 |
| VEHI - 7 | Motor Vehicle Operator - Correspondence, Reports, Driver Tests, Authorization and Awards. | <u>Temporary</u> : Destroy 3 years after separation of employee or 3 years after revision of authorization to operate Government-owned vehicle, whichever is sooner. | GRS 10, Item 7 |

Export Grain Information System Records (EGIS)

EGIS collects information on all export grain shipments that are inspected and/or weighed. It also collects information on outbound non-export shipments from export locations where GIPSA employees perform inspection and weighing services. The system provides GIPSA with grain export information for publishing periodic export grain quality reports, reviewing grain standards, responding to inquiries about foreign complaints, and analyzing other aspects of GIPSA FGIS programs.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-----------------------|
| EGIS – 1 | Inputs – Consist of Information manually entered into the system from GIPSA's Form FGIS 938, Report of Grain Inspected and Weighed for Export which includes grain export data and standards | <u>Temporary:</u> Delete when data have been entered into the master files or database verified, or when no long required supporting reconstruction, of or serving as back up to, a master file or database, whichever is later. | GRS 20, item 2 (b). |
| EGIS – 2 | Master File – This system contains one record for each export lot inspected and or weighed. Each record contains a table with the quantity of the lot and the average factor results certified for the lot. In some cases each record may contain information from several lots which were aggregated to simplify internal reporting. | <u>Temporary:</u> Cut off at the end of the calendar year. Delete/Destroy 6 years after cutoff date or when no longer needed for administrative, legal, or audit purposes. | N1-545-10-1, Item 2 |
| EGIS – 3 | System Outputs – Data files, excel spreadsheets, text files and reports. | <u>Temporary:</u> Delete when the agency determines that they are no longer needed for administrative, legal audit, or other operational purposes. | GRS 20, item 6 |
| EGIS – 4 | System Documentation – System manual (EGIS functions), User Manual Book4, GIS Configuration Management Plan, Disaster Recovery Plan, System Security Plan, Security Feature Users Guide, | <u>Temporary:</u> Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database or upon the | GRS 20, item 11(a) |

| | | | |
|--|---|----------------------------------|--|
| | Privacy Impact Assessment, and Trusted Facilities Manual. | destruction whichever is latest, | |
|--|---|----------------------------------|--|

FGIS *Online Records*

FGIS Online is a portfolio of online business applications that allows FGIS to manage the grain and inspection programs by providing users electronic data that does not have to be reentered into multiple systems.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|--|--|-----------------------|
| FGIS – 1 | Inputs – Electronic and paper inputs consist of registration information, inspection results, general customer information, certificate data, grain taxonomy and grades, grain quality results, and equipment testing information. | <u>Temporary:</u> Delete when data have been entered into the master files or database verified, or when no long required to support reconstruction of, or serve as back up to, a master file or database, whichever is later. | GRS 20, item 2 (b) |
| FGIS – 2 | Master File – Datasets contain registration/designation information, licensing information, grain inspection data, inspection results, general customer information, certificate data, grain taxonomy and grades, grain quality results, billing information, FGIS organizational structure and contact information, and equipment testing information. | <u>Temporary:</u> Cut off at the end of the fiscal year in which data is entered into the system. Destroy 10 years after cut off or whenever no longer needed for business purposes, whichever is later. | N1-545-11-4, item 1 |
| FGIS - 3 | System Outputs – Printed forms and files, web pages, and reports in PDF or XLS formats. | <u>Temporary:</u> Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. | GRS 20, item 6 |
| FGIS – 4 | System Documentation – User manuals, system | <u>Temporary:</u> Destroy | GRS 20, |

| | | | |
|--|--|---|-------------|
| | design documents, entity relation diagrams, data dictionaries, user requirements, help files, project plans. | or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later. | item 11 (a) |
|--|--|---|-------------|

Grain Inspection and Weighing Information System Records (GIWIS)

GIWIS is a unique public-private partnership overseen by USDA, GIPSA, FGIS, the system includes Federal, State Departments of Agriculture, and other Official Inspection Agencies (OIA) authorized by FGIS to provide official inspection and weighing services to the domestic and export grain trade. It collects the number of inspection and weighing services performed under the United States Grain Standards Act (USGSA) by type of carrier on a monthly basis. The USGSA ensures consistency of test results and services, from elevators to elevators, and State to State.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-----------------------|
| GIWIS – 1 | Inputs – Paper (FGIS 922, Inspection and Weighing Report) forms used to record the type and number of inspection and weight services performed under the USGSA. | <u>Temporary</u> : Delete when data have been entered into the master files or database verified, or when no longer required supporting reconstruction, or serving as back up to, a master file or database, whichever is later. | GRS 20, item 2(a)4(b) |
| GIWIS – 2 | Master File – Consist of grain inspection and weighing records such as field office name, official agency name, and service point name, inspection report and number of inspections, official criteria report and number of official criteria tests and reports, weighing report and | <u>Temporary</u> : Cut off at the end of the fiscal. Destroy 3 years after cutoff date or when no longer needed for | N1-545-11-1, Item 1 |

| | | | |
|-----------|--|---|---------------------|
| | number of official criteria tests, weighing report and number of weighing with inspections, weighing only report and number of weighing only, and name of preparer and date when form was completed. | administrative, legal, or audit purposes. | |
| GIWIS – 3 | System Outputs – Electronic and paper reports and spreadsheets in all type of format. | <u>Temporary:</u> Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. | GRS 20, item 6 |
| GIWIS – 4 | System Documentation – User’s manuals, GIWIS User Functions manual, GIS Configuration Management Plan, Disaster Recovery Plan, System, Security Plan, Security Feature Users Guide, Privacy Impact Assessment, and Trusted Facilities Manual. | <u>Temporary:</u> Cut off when system is replaced and data is moved into a new system. | GRS 20, item 11 (a) |

Packers and Stockyards Automated System Records (PAS)

PAS is an automated system used to manage and track workflows for P&SP regulatory activities and investigations in the livestock and poultry industries and store records and data related to these activities. The system also captures and maintains documents and data for business entities being regulated, financial instruments to ensure financial protection to parties involved in the industry, and livestock scales managed by parties involved in industry.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|---|--|-----------------------|
| PSAS – 1 | Inputs – Electronic and hardcopy scanned documents collected from the industry via fax, email, and mail. | <u>Temporary:</u> Delete when data have been entered into the master files or database verified, or when no long required supporting reconstruction, of or serving as back up to, a master file or | GRS 20, item 11(a)1 |

| | | | |
|----------|---|---|---------------------|
| | | database, whichever is later. | |
| PSAS – 2 | Master File – Program Records Categories: <ul style="list-style-type: none"> a. Grow Out and Procurement Contracts b. Bonds and Equivalents c. Regulatory Review Documents d. Tariffs e. Stockyard Posting Records f. Investigative Files g. Annual Reports and Special Reports such Form 3001, Annual Report of Dealer or Market Agency Buying on Commission h. Letters of Notice/NOV/NOD i. Stipulation j. Entity Registration Documents | <u>Temporary:</u> Cut off at the end of the calendar year. Delete/Destroy 5 years after cutoff date or when no longer needed for administrative, legal, or audit purposes. | N1-545-11-5, Item 1 |
| PSAS – 3 | System Outputs – P&SP Annual Reports. | <u>PERMANENT:</u> Cutoff annually. Transfer to NARA when 5 years old. | N1-545-11-5, item 3 |
| PSAS – 4 | System Documentation – User's manual, memorandum of understanding, and system requirement documents. | <u>Temporary:</u> Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later. | GRS 20, item 11 (a) |

Swine Contract Library System (SCL) Records

The SCL website is intended as an aid in the price discovery process and to provide equal access to market information for all market participants. Through the website, GIPSA provides access to the SCL, which is mandated by the 106th Congress. Congress amended the Packers and Stockyards Act requiring the Secretary of Agriculture to establish and maintain by library or catalog of the types of contracts offered by packers to swine producers for the purchase of swine including swine that are purchased for future deliveries.

| File Code | Description and Filing Instructions | Disposition | Disposition Authority |
|-----------|-------------------------------------|-------------|-----------------------|
|-----------|-------------------------------------|-------------|-----------------------|

| | | | |
|----------|---|---|---------------------|
| SCLS – 1 | Inputs – Summary reports and electronic and hardcopy scanned documents used by packers inputting information via the SCL web site. | <u>Temporary:</u> Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. | GRS 20, item 2a (4) |
| SCLS – 2 | Master File – Contains summaries, contract terms, hog qualities, prices, and company information. | <u>Temporary:</u> Cut off at the end of the fiscal year in which data is entered into the system. Delete or destroy 6 years after cut off. | N1-454-11-3. Item 1 |
| SCLS - 3 | System Outputs – Swine contract summary and monthly summary reports. | <u>Temporary:</u> Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes. | GRS 20, item 6 |
| SCLS - 4 | System Documentation - User's manual, P+SRS Configuration Management Plan, Disaster Recovery Plan, System Security Plan, Security Feature Users Guide, Privacy Impact Assessment, and Trusted Facilities Manual. | <u>Temporary:</u> Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later. | GRS 20, item 11 (a) |